

## **SECTION II: DOCUMENTS MAINTAINED BY MANAGEMENT SERVICES DIVISION IN ME-60 EMPLOYEE FOLDERS (Samples)**

### **A. Personnel Forms:**

1. Application for Federal Employment Form, (SF-171; blank)
2. Optional Application for Federal Employment (OF-612; blank)
3. Position Description Coversheet, (DOE F 3511.1; blank)
4. Notification of Personnel Action Form, SF-50; blank)

### **B. Training Forms:**

1. Request, Authorization Agreement and Certification of Training forms, (SF-182)
2. Individual Development Plan Sample (blank)
3. Performance Standards and Performance Appraisal Form (blank)

### **C. Case file folders:**

1. Recruit action requests (actual, sample)
2. Standard Form - 52 - (actual, sample)
3. Position Description Cover Sheet, DOE F-3511.1 (actual, sample)
4. Vacancy Announcement (sample)
5. Sample Position Description (actual sample)
3. Sample Job Analysis forms (actual sample)
4. Crediting Plan (actual sample)

The Management Services Division staff is responsible for keeping a copy of either the application, Standard Form 171, OF-612, or resume, of the individuals who are selected for a position in the Office of Procurement and Assistance Management (including competitive promotion actions for internal applicants). The information in these files are not intended to replicate or a substitute for those maintained in the employee's Official Personnel Folder (OPF). The OPF is maintained by the Office of Human Resources Management and constitutes the official files on the employee maintained by the DOE. Sample copies of the forms and/or documents are provided behind each title page. Two different web sites may have fillable forms, should you need them. For DOE forms visit <http://www.directives.doe.gov/forms/3000.html>. For standard forms (SF) and optional forms (OF), visit <http://www.opm.gov/forms/index.asp>.

**Personnel Forms**  
**(All forms in this section are for illustration only and are blank)**

**Application for Federal Employment Form, (SF-171)**

# Application for Federal Employment - SF 171

Read the instructions before you complete this application. Type or print clearly in dark ink.

Form Approved  
OMB No. 3206-0012

## GENERAL INFORMATION

1 What kind of job are you applying for? Give title and announcement no. (if any)

2 Social Security Number

3 Sex

☐

Male

☐

Female

4 Birth date (Month, Day, Year)

5 Birthplace (City and State or Country)

6 Name (Last, First, Middle)

Mailing address (include apartment number, if any)

City

State

ZIP Code

7 Other names ever used (e.g., maiden name, nickname, etc.)

8 Home Phone

Area Code Number

9 Work Phone

Area Code

Number

Extension

10 Were you ever employed as a civilian by the Federal Government? If "NO" go to Item 11. If "YES", mark each type of job you held with an "X".

☐ Temporary

☐ Career-Conditional

☐ Career

☐ Excepted

What is your highest grade, classification series and job title?

Dates at highest grade: FROM

TO

## AVAILABILITY

11 When can you start work? (Month and Year)

12 What is the lowest pay you will accept? (You will not be considered for jobs which pay less than you indicate.)

Pay \$

per

OR Grade

13 In what geographic area(s) are you willing to work?

14 Are you willing to work:

- A. 40 hours per week (full-time)?.....
- B. 25-32 hours per week (part-time)?.....
- C. 17-24 hours per week (part-time)?.....
- D. 16 or fewer hours per week (part-time)?.....
- E. An intermittent job (on-call/seasonal)?.....
- F. Weekends, shifts, or rotating shifts?.....

YES NO

15 Are you willing to take a temporary job lasting:

- A. 5 to 12 months (sometimes longer)?.....
- B. 1 to 4 months?.....
- C. Less than 1 month?.....

16 Are you willing to travel away from home for:

- A. 1 to 5 nights each month?.....
- B. 6 to 10 nights each month?.....
- C. 11 or more nights each month?.....

## MILITARY SERVICE AND VETERAN PREFERENCE

17 Have you served in the United States Military Service? If your only active duty was training in the Reserves or National Guard, answer "NO". If "NO", go to Item 22.....

YES NO

18 Did you or will you retire at or above the rank of major or lieutenant commander?.....

YES NO

## FOR USE OF EXAMINING OFFICE ONLY

Date entered register

Form reviewed:

Form approved:

Option	Grade	Earned Rating	Veteran Preference	Augmented Rating
			<input type="checkbox"/> No Preference Claimed	
			<input type="checkbox"/> 5 Points (Tentative)	
			<input type="checkbox"/> 10 Pts. (30% Or More Comp. Dis.)	
			<input type="checkbox"/> 10 Pts. (Less Than 30% Comp. Dis.)	
			<input type="checkbox"/> Other 10 Points	

Initials and Date

☐ Disallowed

☐ Being Investigated

## FOR USE OF APPOINTING OFFICE ONLY

Preference has been verified through proof that the separation was under honorable conditions, and other proof as required.

☐ 5-Point

☐ 10-Point - 30% or more Compensable Disability

☐ 10-Point - Less Than 30% Compensable Disability

☐ 10-Point - Other

Signature and Title

Agency

Date

## MILITARY SERVICE AND VETERAN PREFERENCE (Cont.)

19 Were you discharged from the military service under honorable conditions? If your discharge was changed to "honorable" or "general" by a Discharge Review Board, answer "YES". If you received a clemency discharge, answer "NO". If "NO", provide below the date and type of discharge you received.

YES NO

Discharge Date (Month, Day, Year)

Type of Discharge

20 List the dates (Month, Day, Year), and branch for all active duty military service.

From	To	Branch of Service

21 If all your active military duty was after October 14, 1976, list the full names and dates of all campaign badges or expeditionary medals you received or were entitled to receive.

22 Read the instructions that came with this form before completing this item. When you have determined your eligibility for veteran preference from the instructions, place an "X" in the box next to your veteran preference claim.

☐ NO PREFERENCE

☐ 5-POINT PREFERENCE -- You must show proof when you are hired.

10-POINT PREFERENCE -- If you claim 10-point preference, place an "X" in the box below next to the basis for your claim. To receive 10-point preference you must also complete a Standard Form 15, Application for 10-Point Veteran Preference, which is available from any Federal Job Information Center. ATTACH THE COMPLETED SF 15 AND REQUESTED PROOF TO THIS APPLICATION.

☐ Non-compensably disabled or Purple Heart recipient.

☐ Compensably disabled, less than 30 percent.

☐ Spouse, widow(er), or mother of a deceased or disabled veteran.

☐ Compensably disabled, 30 percent or more.

THE FEDERAL GOVERNMENT IS AN EQUAL OPPORTUNITY EMPLOYER  
PREVIOUS EDITION USABLE UNTIL 12-31-90

**WORK EXPERIENCE** *If you have no work experience, write "NONE" in A below and go to 25 on page 3.*

23 May we ask your present employer about your character, qualifications, and work record? A "NO" will not affect our review of your qualifications. If you answer "NO" and we need to contact your present employer before we can offer you a job, we will contact you first....

YES	NO

**24 READ WORK EXPERIENCE IN THE INSTRUCTIONS BEFORE YOU BEGIN.**

- Describe your current or most recent job in Block A and work backwards, describing each job you held during the past 10 years. If you were unemployed for longer than 3 months within the past 10 years, list the dates and your address(es) in an experience block.
- You may sum up in one block work that you did more than 10 years ago. But if that work is related to the type of job you are applying for, describe each related job in a separate block.
- INCLUDE VOLUNTEER WORK (non-paid work) - If the work (or a part of the work) is like the job you are applying for, complete all parts of the experience block just as you would for a paying job. You may receive credit for work experience with religious, community, welfare, service, and other organizations.

- INCLUDE MILITARY SERVICE- You should complete all parts of the experience block just as you would for a non-military job, including all supervisory experience. Describe each major change of duties or responsibilities in a separate experience block.
- IF YOU NEED MORE SPACE TO DESCRIBE A JOB-Use sheets of paper the same size as this page (be sure to include all information we ask for in A and B below). On each sheet show your name, Social Security Number, and the announcement number or job title.
- IF YOU NEED MORE EXPERIENCE BLOCKS, use the SF 171-A or a sheet of paper.
- IF YOU NEED TO UPDATE (ADD MORE RECENT JOBS), use the SF 172 or a sheet of paper as described above.

<b>A</b> Name and address of employer's organization (include ZIP Code, if known)	Dates employed (give month, day and year)		Average number of hours per week	Number of employees you supervised
	From:	To:		
Your immediate supervisor Name	Area Code	Telephone No.	Exact title of your job	Salary or earnings
				Starting \$ per
				Ending \$ per
If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion				

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

**For Agency Use (skill codes, etc.)**

<b>B</b> Name and address of employer's organization (include ZIP Code, if known)	Dates employed (give month, day and year)		Average number of hours per week	Number of employees you supervised
	From:	To:		
Your immediate supervisor Name	Area Code	Telephone No.	Exact title of your job	Salary or earnings
				Starting \$ per
				Ending \$ per
If Federal employment (civilian or military) list series, grade or rank, and, if promoted in this job, the date of your last promotion				

Description of work: Describe your specific duties, responsibilities and accomplishments in this job, including the job title(s) of any employees you supervised. If you describe more than one type of work (for example, carpentry and painting, or personnel and budget), write the approximate percentage of time you spent doing each.

**For Agency Use (skill codes, etc.)**

# **ATTACH ANY ADDITIONAL FORMS AND SHEETS**

## **EDUCATION**

**25** Did you graduate from high school? If you have a GED high school equivalency or will graduate within the next nine months, answer "YES".

YES ☐ If "YES", give month and year graduated or received GED equivalency: \_\_\_\_\_  
 NO ☐ If "NO", give the highest grade you completed: \_\_\_\_\_

**26** Write the name and location (city and state) of the last high school you attended or where you obtained your GED high school equivalency.

**27** Have you ever attended college or graduate school? YES ☐ If "YES", continue with 28.  
 NO ☐ If "NO", go to 31.

**28** NAME AND LOCATION (city, state and ZIP Code) OF COLLEGE OR UNIVERSITY. If you expect to graduate within nine months, give the month and year you expect to receive your degree:

	Name	City	State	ZIP Code	MONTH AND YEAR ATTENDED		NUMBER OF CREDIT HOURS COMPLETED		TYPE OF DEGREE (e.g. B.A., M.A.)	MONTH AND YEAR OF DEGREE
					From	To	Semester	Quarter		
1)										
2)										
3)										

**29** CHIEF UNDERGRADUATE SUBJECTS  
Show major on the first line

NUMBER OF CREDIT HOURS COMPLETED  
Semester Quarter

1)		
2)		
3)		

**30** CHIEF GRADUATE SUBJECTS  
Show major on the first line

NUMBER OF CREDIT HOURS COMPLETED  
Semester Quarter

1)		
2)		
3)		

**31** If you have completed any other courses or training related to the kind of jobs you are applying for (trade, vocational, Armed Forces, business) give information below.

NAME AND LOCATION (city, state, and ZIP Code) OF SCHOOL	MONTH AND YEAR ATTENDED		CLASS-ROOM HOURS	SUBJECT(S)	TRAINING COMPLETED	
	From	To			YES	NO
School Name						
1) City State ZIP Code						
School Name						
2) City State ZIP Code						

## **SPECIAL SKILLS, ACCOMPLISHMENTS AND AWARDS**

Give the title and year of any honors, awards or fellowships you have received. List your special qualifications, skills or accomplishments that may help you get a job. Some examples are: skills with computers or other machines; most important publications (do not submit copies); public speaking and writing experience; membership in professional or scientific societies; patents or inventions; etc.

**32**

**33** How many words per minute can you: TYPE? TAKE DICTATION?

Agencies may test your skills before hiring you.

**34** List job-related licenses or certificates that you have, such as: registered nurse; lawyer; radio operator; driver's; pilot's; etc.

LICENSE OR CERTIFICATE

DATE OF LATEST LICENSE OR CERTIFICATE

STATE OR OTHER LICENSING AGENCY

1)  
2)

**35** Do you speak or read a language other than English (include sign language)? YES ☐ NO ☐

Applicants for jobs that require a language other than English may be given an interview conducted solely in that language.

If "YES", list each language and place an "X" in each column that applies to you.  
 If "NO", go to 36.

LANGUAGE(S)	CAN PREPARE AND GIVE LECTURES		CAN SPEAK AND UNDERSTAND		CAN TRANSLATE ARTICLES		CAN READ ARTICLES FOR OWN USE	
	Fluently	With Difficulty	Fluently	Passably	Into English	From English	Easily	With Difficulty
1)								
2)								

## **REFERENCES**

**36** List three people who are not related to you and are not supervisors you listed under 24 who know your qualifications and fitness for the kind of job for which you are applying. At least one should know you well on a personal basis.

FULL NAME OF REFERENCE	TELEPHONE NUMBER(S) (Include Area Code)	PRESENT BUSINESS OR HOME ADDRESS (Number, street and city)	STATE	ZIP CODE
1)				
2)				
3)				

**BACKGROUND INFORMATION** *You must answer each question in this section before we can process your application.*

**37** Are you a citizen of the United States? (In most cases you must be a U.S. citizen to be hired. You will be required to submit proof of identity and citizenship at the time you are hired.) If "NO", give the country or countries you are a citizen of: YES NO

**NOTE:** It is important that you give complete and truthful answers to questions 38 through 44. If you answer "YES" to any of them, provide your explanation(s) in Item 45. Include convictions resulting from a plea of nolo contendere (no contest). Omit: 1) traffic fines of \$ 100.00 or less; 2) any violation of law committed before your 16th birthday; 3) any violation of law committed before your 18th birthday, if finally decided in juvenile court or under a Youth Offender law; 4) any conviction set aside under the Federal Youth Corrections Act or similar State law; 5) any conviction whose record was expunged under Federal or State law. We will consider the date, facts and circumstances of each event you list. In most cases you can still be considered for Federal jobs. However, if you fail to tell the truth or fail to list all relevant events or circumstances, this may be grounds for not hiring you, for firing you after you begin work, or for criminal prosecution (18 USC 1001).

**38** During the last 10 years, were you fired from any job for any reason, did you quit after being told that you would be fired, or did you leave by mutual agreement because of specific problems? YES NO

**39** Have you ever been convicted of, or forfeited collateral for any felony violation? (Generally, a felony is defined as any violation of law punishable by imprisonment of longer than one year, except for violations called misdemeanors under State law which are punishable by imprisonment of two years or less.) YES NO

**40** Have you ever been convicted of, or forfeited collateral for any firearms or explosives violation? YES NO

**41** Are you now under charges for any violation of law? YES NO

**42** During the last 10 years have you forfeited collateral, been convicted, been imprisoned, been on probation, or been on parole? Do not include violations reported in 39, 40, or 41, above. YES NO

**43** Have you ever been convicted by a military court-martial? If no military service, answer "NO" YES NO

**44** Are you delinquent on any Federal debt? (Include delinquencies arising from Federal taxes, loans, overpayment of benefits, and other debts to the U.S. Government plus defaults on Federally guaranteed or insured loans such as student and home mortgage loans.) YES NO

**45** If "YES" in: 38 - Explain for each job the problems(s) and your reason(s) for leaving. Give the employer's name and address.  
39 through 43 - Explain each violation. Give place of occurrence and name/address of police or court involved.  
44 - Explain the type, length and amount of the delinquency or default, and steps you are taking to correct errors or repay the debt. Give any identification number associated with the debt and the address of the Federal agency involved.

**NOTE:** If you need more space, use a sheet of paper, and include the item number.

Item No.	Date (Mo./Yr.)	Explanation	Mailing Address
			Name of Employer, Police, Court, or Federal Agency
			City State ZIP Code
			Name of Employer, Police, Court, or Federal Agency
			City State ZIP Code

**46** Do you receive, or have you ever applied for retirement pay, pension, or other pay based on military, Federal civilian, or District of Columbia Government service? YES NO

**47** Do any of your relatives work for the United States Government or the United States Armed Forces? Include: father; mother; husband; wife; son; daughter; brother; sister; uncle; aunt; first cousin; nephew; niece; father-in-law; mother-in-law; son-in-law; daughter-in-law; brother-in-law; sister-in-law; stepfather; stepmother; stepson; stepdaughter; stepbrother; stepsister; half brother; and half sister. YES NO

If "YES", provide details below. If you need more space, use a sheet of paper.

Name	Relationship	Department, Agency or Branch of Armed Forces

**SIGNATURE, CERTIFICATION, AND RELEASE OF INFORMATION****YOU MUST SIGN THIS APPLICATION.** Read the following carefully before you sign.

- A false statement on any part of your application may be grounds for not hiring you, or for firing you after you begin work. Also, you may be punished by fine or imprisonment (U.S. Code, title 18, section 1001).
- If you are a male born after December 31, 1959 you must be registered with the Selective Service System or have a valid exemption in order to be eligible for Federal employment. You will be required to certify as to your status at the time of appointment.
- I understand that any information I give may be investigated as allowed by law or Presidential order.
- I consent to the release of information about my ability and fitness for Federal employment by employers, schools, law enforcement agencies and other individual and organizations, to investigators, personnel staffing specialists, and other authorized employees of the Federal Government.
- I certify that, to the best of my knowledge and belief, all of my statements are true, correct, complete, and made in good faith.

**48** Signature ( Sign each application in dark ink )

**49** DATE SIGNED ( Month, day, year )

**Optional Application for Federal Employment (OF-612)**



## GENERAL INFORMATION

You may apply for most Federal jobs with a resume, the attached *Optional Application for Federal Employment* or other written format. If your resume or application does not provide all the information requested on this form and in the job vacancy announcement, you may lose consideration for a job. Type or print clearly in dark ink. Help speed the selection process by keeping your application brief and sending only the requested information. If essential to attach additional pages, include your name and Social Security Number on each page.

- For information on Federal employment, including job lists, alternative formats for persons with disabilities, and veterans' preference, call the U.S. Office of Personnel Management at **912-757-3000**, TDD **912-744-2299**, by computer modem **912-757-3100**, or via the Internet (Telnet only) at FJOB.MAIL.OPM.GOV.
- If you served on active duty in the United States Military and were separated under honorable conditions, you may be eligible for veterans' preference. To receive preference if your service began after October 15, 1976, you must have a Campaign Badge, Expeditionary Medal, or a service-connected disability. Veterans' preference is not a factor for Senior Executive Service jobs or when competition is limited to status candidates (current or former career or career-conditional Federal employees.)
- Most Federal jobs require United States citizenship and also that males over age 18 born after December 31, 1959, have registered with the Selective Service System or have an exemption.
- The law prohibits public officials from appointing, promoting, or recommending their relatives.
- Federal annuitants (military and civilian) may have their salaries or annuities reduced. All employees must pay any valid delinquent debts or the agency may garnish their salary.
- Send you application to the office announcing the vacancy. If you have questions, contact that office.

## THE FEDERAL GOVERNMENT IS AN EQUAL OPPORTUNITY EMPLOYER

---

## PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

- The Office of Personnel Management and other Federal agencies rate applicants for Federal jobs under the authority of sections 1104, 1302, 3301, 3304, 3320, 3361, 3393, and 3394 of title 5 of the United States Code. We need the information requested in this form and in the associated vacancy announcements to evaluate your qualifications. Other laws require us to ask about citizenship, military service, etc.
- We request your Social Security Number (SSN) under the authority of Executive Order 9397 in order to keep your records straight; other people may have the same name. As allowed by law or Presidential directive, we use your SSN to seek information about you from employers, schools, banks, and others who know you. Your SSN may also be used in studies and computer matching with other Government files, for example, files on unpaid student loans.
- If you do not give us your SSN or any other information requested, we cannot process your application, which is the first step in getting a job. Also, incomplete addresses and ZIP Codes will slow processing.
- We may give information from your records to: training facilities; organizations deciding claims for retirement, insurance, unemployment or health benefits; officials in litigation or administrative proceedings where the Government is a party; law enforcement agencies concerning violations of law or regulation; Federal agencies for statistical reports and studies; officials of labor organizations recognized by law in connection with representing employees; Federal agencies or other sources requesting information for Federal agencies in connection with hiring or retaining, security clearances, security or suitability investigations, classifying jobs, contracting, or issuing licenses, grants, or other benefits; public and private organizations including news media that grant or publicize employee recognition and awards; and the Merit Systems Protection Board, the Office of Special Counsel, the Equal Employment Opportunity Commission, the Federal Labor Relations Authority, the National Archives, the Federal Acquisition Institute, and congressional offices in connection with their official functions.
- We may also give information from your records to: prospective nonfederal employers concerning tenure of employment, civil service status, length of service, and date and nature of action for separation as shown on personnel action forms of specifically identified individuals; requesting organizations or individuals concerning the home address and other relevant information on those who might have contracted an illness or been exposed to a health hazard; authorized Federal and nonfederal agencies for use in computer matching; spouses or dependent children asking whether the employee has changed from self-and-family to self-only health benefits enrollment; individuals working on a contract, service, grant, cooperative agreement or job for the Federal Government; non-agency members of an agency's performance or other panel; and agency- appointed representatives of employees concerning information issued to the employee about fitness-for-duty or agency-filed disability retirement procedures.
- We estimate the public reporting burden for this collection will vary from 20 to 240 minutes with an average of 40 minutes per response, including time for reviewing instructions, searching existing data sources, gathering data, and completing and reviewing the information. You may send comments regarding the burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to U.S. Office of Personnel Management, Reports and Forms Management Officer, Washington, DC 20415-0001.
- Send your application to the agency announcing the vacancy.



9 May we contact your current supervisor?

YES ☐

NO ☐

➔ If we need to contact your current supervisor before making an offer, we will contact you first.

### EDUCATION

10 Mark highest level completed. Some HS ☐ HS/GED ☐ Associate ☐ Bachelor ☐ Master ☐ Doctoral ☐

11 Last high school (HS) or GED school. Give the school's name, city, State, ZIP Code (if known), and year diploma or GED received.

12 Colleges and universities attended. Do **not** attach a copy of your transcript unless requested.

1)	Name	City	State	ZIP Code	Total Credits Earned		Major(s)	Degree (if any)	Year Received
					Semester	Quarter			

2)

3)

### OTHER QUALIFICATIONS

13 **Job-related** training courses (give title and year). **Job-related** skills (other languages, computer software/hardware, tools, machinery, typing speed, etc. **Job-related** certificates and licenses (current only). **Job-related** honors, awards, and special accomplishments (publications, memberships in professional/honor societies, leadership activities, public speaking, and performance awards.) Give dates, but do **not** send documents unless requested.

### GENERAL

14 Are you a U.S. citizen? YES ☐ NO ☐ ➔ Give the country of your citizenship.

15 Do you claim veterans' preference? NO ☐ YES ☐ ➔ Mark your claim of 5 or 10 points below.

5 points ☐

➔ Attach your DD 214 or other proof.

10 points ☐

➔ Attach an *Application for 10-Point Veterans' Preference* (SF 15) and proof required.

16 Were you ever a Federal civilian employee?

NO ☐

YES ☐

➔ For highest civilian grade give:

Series    Grade    From (MM/YY)    To (MM/YY)

17 Are you eligible for reinstatement based on career or career-conditional Federal status?

NO ☐

YES ☐

➔ If requested, attach SF 50 proof.

### APPLICANT CERTIFICATION

18 I **certify** that, to the best of my knowledge and belief, all of the information on and attached to this application is true, correct, complete and made in good faith. I **understand** that false or fraudulent information on or attached to this application may be grounds for not hiring me or firing me after I begin work, and may be punishable by fine or imprisonment. I **understand** that any information I give may be investigated.

SIGNATURE

DATE SIGNED

**Position Description Coversheet, (DOE F 3511.1)**

**PART I: TO BE COMPLETED BY THE INITIATING OFFICE**

12. RECOMMENDED CLASSIFICATION (Optional)

a. Typed or Printed Name and Title of Immediate Supervisor

b. Typed or Printed Name and Title of Higher-Level Supervisor or Manager (optional)

Signature

Date \_\_\_\_\_

**Signature**

Date \_\_\_\_\_

<b>14. Classification Certification.</b> <i>I certify that this position has been classified consistently with the most applicable standards published by the Office of Personnel Management.</i>	<div style="border-bottom: 1px solid black; height: 30px; margin-bottom: 10px;"></div> <div style="display: flex; justify-content: space-between;"> <span>Title</span> </div> <div style="border-bottom: 1px solid black; height: 30px; margin-bottom: 10px;"></div> <div style="display: flex; justify-content: space-between;"> <span>Signature</span> <div style="text-align: right;"> <div style="display: flex; justify-content: space-around; width: 100%;"> <span>MO</span> <span>DY</span> <span>YR</span> </div> <div style="display: flex; justify-content: space-around; width: 100%;"> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> </div> <div style="display: flex; justify-content: space-around; width: 100%;"> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> </div> </div> </div>
---	---

<b>15. RECERTIFICATION</b>			<b>MO</b>	<b>DY</b>	<b>YR</b>	<b>Initials</b>	<b>MO</b>	<b>DY</b>	<b>YR</b>	<b>e.</b>	<b>MO</b>	<b>DY</b>	<b>YR</b>
a.						c.				e.			
b.						d.				f.			

16. Classification Title of Position (60 characters)	

Classification Title (continued)				17. Pay Plan	18. Occ. Series Code	19. Grade	20. Occ. Series Modifier
21. FUNCTIONAL CLASS CODE FOR SCIENTISTS AND ENGINEERS				22. Full Perf. Level	23. FLSA (Circle)	24. PMRS and Labor Relations Code (Circle One)	
					E N	M S L P C R W X N	
25. Comp. Area	25. Comp. Level	27. Position Tenure (Circle One)		28. Agency Code		29. Agency Use	
		P Q S T U					

**Part 1 - Position Description File Copy**

**Notification of Personnel Action Form, (SF-50)**

## NOTIFICATION OF PERSONNEL ACTION

1. Name (Last, First, Middle)	2. Social Security Number	3. Date of Birth	4. Effective Date
-------------------------------	---------------------------	------------------	-------------------

### FIRST ACTION

5-A. Code 5-B. Nature of Action

5-C. Code 5-D. Legal Authority

5-E. Code 5-F. Legal Authority

### SECOND ACTION

6-A. Code 6-B. Nature of Action

6-C. Code 6-D. Legal Authority

6-E. Code 6-F. Legal Authority

7. FROM: Position Title and Number

15. TO: Position Title and Number

8. Pay Plan	9. Occ. Code	10. Grade or Level	11. Step or Rate	12. Total Salary	13. Pay Basis	16. Pay Plan	17. Occ. Code	18. Grade or Level	19. Step or Rate	20. Total Salary/Award	21. Pay Basis
12A. Basic Pay	12B. Locality Adj.	12C. Adj. Basic Pay	12D. Other Pay	20A. Basic Pay	20B. Locality Adj.	20C. Adj. Basic Pay	20D. Other Pay				

14. Name and Location of Position's Organization

22. Name and Location of Position's Organization

### EMPLOYEE DATA

23. Veterans Preference

1 - None 3 - 10 Point/Disability 5 - 10 Point/Other  
2 - 5-Point 4 - 10-Point/Compensable 6 - 10-Point/Compensable/30%

24. Tenure

0 - None 2 - Conditional  
1 - Permanent 3 - Indefinite

25. Agency Use

26. Veterans Pref for RIF

YES NO

27. FEGLI

28. Annuitant Indicator

29. Pay Rate Determinant

30. Retirement Plan

31. Service Comp. Date (Leave)

32. Work Schedule

33. Part-Time Hours Per  
Biweekly  
Pay Period

### POSITION DATA

34. Position Occupied

1 - Competitive Service 3 - SES General  
2 - Excepted Service 4 - SES Career

35. FLSA Category

E - Exempt  
N - Nonexempt

36. Appropriation Code

37. Bargaining Unit Status

38. Duty Station Code

39. Duty Station (City - County - State or Overseas Location)

40. AGENCY DATA

41.

42.

43.

44.

45. Remarks

46. Employing Department or Agency

50. Signature/Authentication and Title of Approving Official

47. Agency Code

48. Personnel Office ID

49. Approval Date

TURN OVER FOR IMPORTANT INFORMATION

5-Part:

1 - Employee Copy - Keep for Future Reference

Editions Prior to 7/91 Are Not Usable After  
6/30/93  
NSN 7540-01-333-6236

## **Training Forms**



**Request, Authorization Agreement and Certification of  
Training forms, (SF-182)**

REQUEST, AUTHORIZATION, AGREEMENT AND CERTIFICATION OF TRAINING				A. Agency code agency subelement (Example: 101-101-1000)		01 B. OFFICE USE ONLY					
						C. Request status (Mark (x) one)					
						02					
						Initial or Correction or					
<b>Section A-TRAINEE INFORMATION</b>											
1. Applicant's name (Last-First-Middle Initial)			Enter first last name		03 2. Social Security Number		04 3. Date of birth (Year and month)				
4. Home address (Number, street, city, State, ZIP code)			5. Home telephone Area code Number		6. Position level (Mark (x) one only)						
					(Example-born January 14, 1943 shown as 43/01)						
7. Organization mailing address (Branch-Division/Office/Bureau/Agency)			8. Office telephone Area code Number Extension		9. Continuous		10. Number of prior training days				
					Years Months						
11a. Position title/function		11b. Applicant handicapped or disabled (See instructions)		12. Pay plan/series/grade/step		13. Type of appointment		14. Education Level			
<b>Section B-TRAINING COURSE DATA</b>											
15a. Name and mailing address of training vendor (No., street, city, State, ZIP code)				15b. Location of training site (if same, mark box)							
16. Course title and training objectives (Benefits to be derived by the Government)											
17. Catalog/Course No.		18. Training period (6		06 19. No. of course hours (4 digits)		07 20. Training codes (See instructions)					
		Yea Month Day		a. During duty		Code		Code			
		a. Start		b. Non-duty		a. Purpose				08 c. Source	
		b. End		c. TOTAL		b. Type				09 d. Special interest	
										10 11	
AGENCY USE ONLY											
<b>Section C-ESTIMATED COSTS AND BILLING</b>					<b>Section D-APPROVALS</b>						
21. Direct costs and appropriation/fund chargeable					26a. Immediate supervisor-Name and title						
Item		Amount				Area code/Tel. No./Extension					
		Dollars Cents									
a. Tuition											
b. Books or materials											
c. Other (Specify)						27a. Second-line supervisor-Name and title					
d. (Enter 4 digits in		12				Area code/Tel. No./Extension					
TOTAL		00									
22. Indirect costs and appropriation/fund chargeable					b. Signature						
Item		Amount		Appropriation/fund		28a. Training officer-Name and title					
		Dollars Cents				Area code/Tel. No./Extension					
a. Travel		\$									
b. Per diem											
c. Other (Specify)						b. Signature					
d. (Enter 4 digits in		13				Date					
TOTAL		\$									
23. Document/Purchase Order/Requisition No.					29a. Authorizing official-Name and title						
24. 8-Digit station symbol (Example-12-34-5678)					Area code/Tel. No./Extension						
									b. Signature		
25. BILLING INSTRUCTIONS (Furnish invoice to):					Approved Date						
					Disapprove						
<b>Section E-CERTIFICATION OF TRAINING COMPLETION</b>					<b>Section E-APPROVAL/CONCURRENCE</b>						
					30a. Certifying official-Name and title						
					Area code/Tel. No./Extension						
					b. Signature						
					Date						

TRAINING FACILITY • Bills should be sent to office indicated in item 25 • Please refer to number given in item 23 to assure prompt

**Individual Development Plan  
(Electronic Format - Sample)**

**Individual Development Plan  
(Electronic Format - Sample)**

**Individual Development Plan for**  
**10/01/2001 to 09/30/2002**

**from**

<b>Name:</b>	<b>Title/Position: MANAGEMENT ANALYST</b>		
<b>Organizational Unit:</b>	<b>Grade/Step:</b>	<b>Work Phone:</b>	<b>Employee ID:</b>

Reason	Activity	Description	Cost	Hours	Start Date
<b>Short Range Goal 1: Improve administrative skills</b>					
Development	Instructor Led	<b>Course name:</b> Management Analysis <b>Description:</b> This course is designed to cover the process needed to successfully conduct a management analysis study.	0	40	TBD
Development	Instructor Led	<b>Course name:</b> Acquisition Mgmt for Tech Per <b>Description:</b> This course is intended for a non-procurement audience. The course is ideal for program and project personnel involved in generating procurement requests or participating in source selection activities. Participants will receive a solid foundation in the processes and applications of acquisition activities that happen before a contract is awarded. Topics include: ethics; contracting methods; types of contracts; pre-award process; contract administration; and trends in Government contracting.	0	40	TBD
Development	Instructor Led	<b>Course name:</b> Leading Effective Meetings <b>Description:</b> This training is designed for people with little or no exposure to meeting facilitation skills. The intent is to provide the participants with choices and options to make their current meetings more effective and efficient. It provides a review of three elements needed for an	0	8	TBD

		effective meeting. These are: (1) the 3 basic meeting tools (brainstorming, multi-voting and force-field analysis); (2) ways to effectively structure a meeting; and (3) ways to deal with difficult/disruptive people or groups during a meeting.			
Development	Instructor Led	<b>Course name:</b> Managing Customer Satisfaction <b>Description:</b> This course is designed to teach how a customer-oriented attitude can make all the difference to your organization's success. The student will learn all the secrets of instilling that attitude in front-line employees who have direct contact with your customers every day. Set up a customer service strategy that is driven by measurable goals, two-way communication, empowerment and rewards, and never lose a valuable customer again.	345	16	TBD
<b>Short Range Goal 2: Improve personnel and labor relations skills</b>					
Development	Classroom/traditional	Basic Position Classification, CLAS7000D-C22, USDA, 202-314-3400	1395	80	04/15/2002
Development	Detail/Rotational Assignment	Detail to the Labor Relations Office to become more familiar with the labor relations area of personnel work.	0	0	TBD
Development	Detail/Rotational Assignment	To work closely with the Personnel Staffing Specialists in the area of processing personnel actions and classification.	0	0	TBD
Development	Instructor Led	<b>Course name:</b> Alternative Dispute Resolution <b>Description:</b> The participant will learn the following: Legal mandates about ADR; locating experts on ADR; benefits and efficiencies of ADR; types of disputes most suitable for ADR; procedural requirements of ADR; and developing essential mediation skills	0	7	TBD

Development	Instructor Led	<b>Course name:</b> Basic Benefits <b>Description:</b> You will learn to determine the retirement system coverage for rehires, transfers, and converted employees; specialized knowledge of Federal Employees Health Benefits, Group Life Insurance, and Thrift Savings Plan; explaining the basics of the Social Security system and its impact on Federal employees; communicating various elements of the CSRS and the Federal Employees Retirement System to others, identifying creditable service, eligibility and basic annuity computation under CSRS, CSRS Offset and FERS; and locating and identifying regulatory and procedural guidance regarding Federal benefits.	0	32	TBD
Development	Instructor Led	<b>Course name:</b> Basic EEO Counseling <b>Description:</b> You will learn: EEO laws and legal considerations Theories of discrimination Defining the protected groups Conducting the informal inquiry ? Preventing sexual harassment ? Burden of proof for EEO cases ? Rights and responsibilities of employees and management ? Applying the remedies available under the law ? Writing reports	0	32	TBD
Development	Instructor Led	<b>Course name:</b> Organizational Behavior <b>Description:</b> Current theory and research of individual and small group behavior in the organization.	0	33	TBD
<b>Long Range Goal 1: Work in the human resource development area, i.e., employee development/training area.</b>					
Development	Detail/Rotational Assignment	A detail to the training office to learn more about the scheduling of courses and how programs/training programs are developed for the Department.	0	0	TBD
Development	Classroom/traditional	Introduction to Employee Development, CDEV7001D-C22, USDA, Washington, DC	545	24	TBD

Development	Classroom/traditional	Managing Training for Results, CDEV9002D-C22; USDA, Washington, DC	525	24	TBD
Development	Instructor Led	<p><b>Course name:</b> How to Think Outside the Box</p> <p><b>Description:</b> This course is designed to develop the innovative thinking skills necessary for breaking out of mental ruts, sparking new ideas, and exploring new avenues of problem solving and decision making. This course will equip you with the techniques and provide you with the direction you need to accelerate your own career success. The workshop outline includes: where new ideas come from; how your thinking habits inhibit your effectiveness and affect results; overcoming negativity and other obstacles to an open mind; techniques for generating new ideas, solving problems, and making decisions; keeping your ideas focused and on target; and putting your ideas into action with successful results.</p>	0	8	TBD
		<p><b>Course name:</b> Understanding Misunderstanding</p> <p><b>Description:</b> Gender and age greatly influence what we perceive, how we process information, and how we communicate our thoughts and feelings. Change also affects communication, whether it's the result of new or different management practices, workspaces, or technology. Miscommunication can cause unnecessary stress, strain working relationships, affect performance, and impact customers. In this one-day program, you'll learn to: -Understand the role biology and social conditioning play in the ways men and women view and respond to the world. -Understand how and why men and women focus on different elements of the same conversation. -Learn how and why</p>			



Development	Instructor Led	gender and age influence how people listen, approach problems and problem solving, manage people, and sell to their customers. -Explore the seven major areas in which people experience communications breakdowns at work and develop skills to prevent misunderstandings. -Understand and learn from the different leadership styles of men and women of people of different ages. -Explore how change in technology affect our communications with others and how change, in general, can threaten good communication. -Become more aware of why and how you channel your time and energy and the negative consequences of prolonged imbalance on your communication with others. -Discover how balance in life and work can help to improve communication and be more productive and efficient. -Learn the difference between healthy commitment and unhealthy work add	0	8	TBD
-------------	----------------	---	---	---	-----

**Long Range Goal 2: To work in the labor relations area.**

Development	Detail/Rotational Assignment	A detail to the Labor Relations office with the intention of learning about this area of personnel.	0	0	TBD
Development	Classroom/traditional	Basic Labor Relations, LABR7001D-C22, USDA, Washington, DC--202-314-3400	625	32	TBD
Development	Classroom/traditional	Basic Employee Relations, LABR7000D-C22, USDA, Washington, DC	675	32	TBD
Development	Classroom/traditional	Adverse and Performance-Based Actions, LABR7100D-C22, USDA, Washington, DC	675	32	TBD

[Request Manager Approval](#)
[Back to Goal Summary](#)
[Privacy/Security Notice](#)

**Performance Standards and Performance Appraisal Forms  
(Blank)**

**U.S. DEPARTMENT OF ENERGY  
HEADQUARTERS**

**Performance Plan and Performance Appraisal Form  
For  
Performance Management System Employees**

\*\*\*\*\*

*Employee Name:*

*Social Security Number:*

*Position Title/Pay Plan/Series/Grade:*

*Organization and Location:*

**PERFORMANCE PERIOD:** From:   xx-xx-xxxx                      To:   xx-xx-xxxx

**CHECK ONE:**            **ANNUAL RATING OF RECORD**

**ADVISORY RATING:**        *Detail*            *Position Change*

*Temporary Promotion*        *Other (Specify)*

**SPECIAL RATING OF RECORD BASED ON:**

## ***LEVELS OF ACCOMPLISHMENT***

The level of performance assigned to each critical and non-critical element in employees' performance plans. Those levels, with their generic definitions, are as follows:

### **Level 4**

Demonstrates initiative by taking responsibility for planning work and handling unexpected problems; demonstrates innovative thinking, innovative use of available resources, and develops creative solutions; meets or exceeds deadlines; demonstrates high quality work that is technically sound, accurate, and thorough; and initiates collaborative efforts where beneficial to task accomplishment, and works cooperatively with others. The supervisor is rarely involved in overcoming barriers to performance and this performance is sustained throughout the rating period.

### **Level 3**

Demonstrates initiative by taking responsibility for planning work and handling unexpected problems; demonstrates innovative thinking, innovative use of available resources, and develops creative solutions; meets or exceeds deadlines; demonstrates high quality work that is technically sound, accurate, and thorough; and initiates collaborative efforts where beneficial to task accomplishment, and works cooperatively with others. Supervisory intervention is periodically required to overcome significant barriers to performance.

### **Level 2**

Adequately plans work and handles problems; usually demonstrates economic use of available resources; develops solutions; meets deadlines; demonstrates work that usually is technically sound, accurate, and thorough; and works cooperatively and collaboratively with others. The supervisor is required to overcome significant barriers to performance.

### **Level 1**

Level 1 is unsatisfactory performance.

***Employee Name:***

***PERFORMANCE APPRAISAL/MANAGEMENT PLAN***

---

**Performance Element:**        **of**        **Weight:**        **Rating:**        **(1,2,3, or 4)**

**One sentence summary statement:**

\*\*\*\*\*

***Tasks. Objectives and/or Activities Related to Element:***

***(Include relevant organizational goals, strategic plan objectives, related tasks.)***

## PERFORMANCE PLAN CERTIFICATIONS

---

### *Section A. Certification of Discussion & Issuance of Elements/Standards*

(Signed)

(Typed)

Signature of Rating Official

Date

(Signed)

(Typed)

Signature of Reviewing Official

Date

Employee - I have reviewed and have been provided an opportunity to discuss my elements/standards for this period with the rating official.

Signature of Employee

Date

☐ Employee refused to sign

**Section B. Certification of Progress Review - Performance and progress to date have been discussed with the employee.**

Progress reviews provide structured, scheduled time for rating official-employee communications at two points of the performance period to: assess progress made toward achieving performance objectives and meeting performance requirements; identify new or previously unnoticed problems affecting the employee's performance and develop ways to resolve them; and make necessary adjustments in the performance elements and standards.

Planning the progress review meeting is essential to its success. In advance of the progress review meeting, the rating official should review the elements and standards and assemble copies of relevant documents to share with the employee. The progress review meeting shall not be used as an occasion for congratulating or blaming the employee. These meetings are intended for the employee and rating official to explore the circumstances underlying the employee's evaluation at the time of the review.

**NOTE: At the end of the performance period, this page will be detached from the performance appraisal. It will not be filed in the employee's performance file.**

1 <sup>st</sup> Review		Level of performance as of this review
(Signed)		Element 1. _____
(Typed)		Element 2. _____
Signature of Rating Official	Date	Element 3. _____
		Element 4. _____
		Element 5. _____
Signature of Employee	Date	Element 6. _____
		Element 7. _____
		Element 8. _____
Employee refused to sign		

2 <sup>nd</sup> Review		Level of performance as of this review
(Signed)		Element 1. _____
(Typed)		Element 2. _____
Signature of Rating Official	Date	Element 3. _____
		Element 4. _____
		Element 5. _____
Signature of Employee	Date	Element 6. _____
		Element 7. _____
		Element 8. _____
Employee refused to sign		

**Section C. Certificate of Performance Rating:**

Individual element rating:	Weight:	Total:
Element 1.		
Element 2.		
Element 3.		
Element 4.		
Element 5.		
Element 6.		
Element 7.		
Element 8.		
<b>Total weights:</b>	<b>Total points:</b>	

Overall Summary Rating (total points divided by total weights):

(Signed)	
<hr/>	
(Typed)	
<hr/>	
Signature of Rating Official	Date
(Signed)	
<hr/>	
(Typed)	
<hr/>	
Signature of Reviewing Official	Date

Employee - I understand that my signature on the appraisal indicates only that I have reviewed the appraisal. I understand that failure to sign the appraisal does not affect its validity.

Signature of Employee Date

☐ Employee refused to sign appraisal

Rating Official Signature:

Date:

---



### **Case File Folders**

Case file folders are maintained by the Management Services Division (ME-652) for all ME-60 personnel actions. These folders are in essence "working folders" for the staff's use in keeping track of and recording the progress of each action. The type of information kept in the folder will depend on the nature of the requested action. Folders for recruit actions are the ones that generate the most paperwork and data to be kept. For other type actions, such as reassignments or details of individual to another position within or outside of ME-60's organizational working units, documentation is maintained in the employee's folder.

**Recruit Action Request  
(Actual sample)**



## Department of Energy

Washington, DC 20585

June 3, 2003

MEMORANDUM FOR JAN CHAVEZ, DIRECTOR  
MANAGEMENT SERVICES DIVISION

FROM: STEPHEN MICHELSEN, DIRECTOR  
OFFICE OF CONTRACT AND RESOURCE MANAGEMENT

SUBJECT: RECRUITMENT ACTION

Please initiate a recruitment action for a Contractor Employee Benefit, Pension and Insurance Analyst, GS-1102-13, with promotion potential to 14. This is a non-bargaining unit position. As there are no candidates in the 1163 series within the Department, we would like to advertise this position government-wide, and request use of the phasing process. Relocation costs are not authorized. Position descriptions, job analyses and crediting plans for both grade levels are attached.

The position is designated Level 2, Non Critical Sensitive.

Attachments



**Position Description Cover Sheet, DOE F-3511.1  
(Actual sample)**

U.S. DEPARTMENT OF ENERGY  
POSITION DESCRIPTION

To be completed by Personnel	1. POSITION NUMBER	2. ORGANIZATION CODE	3. ACTION (Circle Letter) A=ADD C=CHG D=DEL
	0100113584	1M6210000000	

**PART I: TO BE COMPLETED BY THE INITIATING OFFICE**

4. ORGANIZATIONAL LOCATION OF POSITION a. First Subdivision (Below DOE) Office of Management, Budget and Evaluation b. Second Subdivision Office of Procurement and Assistance Management c. Third Subdivision Office of Contract Management d. Fourth Subdivision Acquisition Planning and Liaison Division e. Fifth Subdivision f. Sixth Subdivision	5. SENSITIVITY (Circle Number) 1 = Nonsensitive 2 = Noncritical Sensitive 3 = Critical Sensitive 4 = Special Sensitive	6. FINANCIAL STATEMENT REQUIRED (Circle) YES NO	7. COMPUTER POSITION n/a	8. LEVEL OF ACCESS 2
9. DUTY STATION Washington, DC		10. EMPLOYING OFFICE LOCATION Washington, DC		

11. ORGANIZATIONAL TITLE OF POSITION (40 characters) (Complete only if different from recommended Classification Title)

12. RECOMMENDED CLASSIFICATION (Optional)

Supervisory Procurement Analyst

13. Supervisory Certification. I certify that this is an accurate statement of the major duties and responsibilities of this position and its organizational relationships, and that the position is necessary to carry out Government functions for which I am responsible. This certification is made with the knowledge that this information

is to be used for statutory purposes relating to appointment and payment of public funds, and that false or misleading statements may constitute violations of such statutes or their implementing regulations.

a. Typed or Printed Name and Title of Immediate Supervisor

Edward R. Simpson, Director, ME-62

b. Typed or Printed Name and Title of Higher-Level Supervisor or Manager (optional)

Richard H. Hopf, Director, ME-60

Signature

Date

Signature

Date

**PART II: TO BE COMPLETED BY THE PERSONNEL OFFICE**

14. Classification Certification. I certify that this position has been classified consistently with the most applicable standards published by the Office of Personnel Management.

Title

Signature

MO 07 / DY 16 / YR 02

15. RECERTIFICATION

MO

DY

YR

a.

MO

DY

YR

Initials

MO

DY

YR

c.

MO

DY

YR

e.

MO

DY

YR

b.

MO

DY

YR

d.

MO

DY

YR

f.

MO

DY

YR

16. Classification Title of Position (60 characters)

Supervisory Procurement Analyst

Classification Title (continued)

17. Pay Plan

18. Occ. Series Code

19. Grade

20. Occ. Series Modifier

21. FUNCTIONAL CLASS CODE FOR SCIENTISTS AND ENGINEERS

22. Full Perf. Level

23. FLSA (Circle)

24. PMRS and Labor Relations Code (Circle One)

25. Comp. Area

25. Comp. Level

27. Position Tenure (Circle One)

28. Agency Code

29. Agency Use

**PART III: REMARKS**PART 1 - POSITION DESCRIPTION FILE COPY  
PART 2 - OFFICIAL PERSONNEL FOLDER  
PART 3 - EMPLOYEE COPYPART 4 - INITIATING OFFICE COPY  
PART 5 - OCCUPATIONAL SERIES FILE

**Vacancy Announcement (bargaining unit position)**  
**(Actual sample)**

# Merit Promotion

## Vacancy Announcement

### U.S. Department of Energy

Mail Distribution: 2,4

Announcement Number: 03-ME-60-47

Issue Date: 06/06/03 Closing Date: 06/20/03

**Who May Apply:** Headquarters (HQ) Employees of the Department of Energy within the Washington, D.C. Metro Commuting Area (Status Candidates Only)\* (Headquarters Employees Duty-Stationed Outside the Washington, D.C. Commuting Area are Eligible to Apply.)

#### Relocation Expenses Will Not Be Paid

**\*Others Who May Apply:** Persons eligible for noncompetitive assignment; Veterans Readjustment Act (VRA) eligibles, 30% disabled veterans, people with disabilities, and others who may be eligible under special employment programs. Reasonable accommodations will be provided for applicants with disabilities on a case-by-case basis. Please indicate on your application materials, the announcement number and specific category under which you wish to be considered, and provide appropriate documentation. For information on these authorities, please call (202) 586-8583.

**POSITION:** Procurement Analyst, GS-1102-14

**SALARY RANGE:** \$81,602 - \$106,086 per annum

**PROMOTION POTENTIAL:** None

**BARGAINING UNIT POSITION:** Yes

**SUPERVISOR/MANAGER:** No

**NUMBER OF POSITIONS:** 1

**ORGANIZATION LOCATION:** Office of Management, Budget and Evaluation, Office of Procurement and Assistance Management, Office of Management Systems and Services, Information Management Systems Division

**GEOGRAPHIC LOCATION:** Washington, DC

Newly appointed supervisors/managers must serve a one-year probationary period. Salary includes 12.74% locality-based adjustment for the Washington-Baltimore area (DC-MD-VA-WV-St. Mary's County, MD).

**DUTIES AND RESPONSIBILITIES:** The incumbent of this position oversees contractor performance of data mining on purchase card usage by Federal employees and contractors. Incumbent provides assistance to Department of Energy (DOE) program and project managers through the development and implementation of acquisition management tools and data systems; and researches, reviews, and comments on Office of Procurement and Assistance Management (OPAM) policy and procedures to ensure policies and directives comply with laws, executive orders, and agency guidance. The incumbent prepares staff studies, reports, and correspondence relating to specific procurement or financial assistance problems and procurement or financial assistance policy matters, and responses to Congressional inquiries, Freedom of Information Act request, and GAO or IG recommendations and findings. The incumbent manages the development, implementation, and maintenance of automated systems in support of the DOE procurement community which includes requirements analysis, functional specifications, customer review and acceptance, design specifications, cost and schedule, system development, testing, training, and configuration management.

**QUALIFICATION REQUIREMENTS:** An applicant must have one year of specialized experience that is directly related to the duties of this position and possess the particular knowledge, skills, and abilities to successfully perform the duties of the position. To be creditable, specialized experience must have been at least equivalent to the next lower grade level in the Federal Service for the normal line of progression for the occupation. All qualification and legal requirements, including time in grade, must be met within 30 calendar days of the closing date of this announcement.

Completion of all mandatory training\* prescribed by the head of the agency for progression to GS-13 or higher level contracting positions, including at least 4 years experience in contracting or related positions. At least 1 year of that experience must have been specialized experience at or equivalent to the next lower level of the position, and must have provided the knowledge, skills, and abilities to perform successfully the work of the position.

**AND**

A 4-year course of study leading to a bachelor's degree, that included or was supplemented by at least 24 semester hours in any combination of the following fields: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.

The Department of Energy supports the policy of restricting smoking in all Federal facilities. Smoking (cigarettes only) is permitted only in designated smoking areas.

**THE DEPARTMENT OF ENERGY IS AN EQUAL OPPORTUNITY EMPLOYER**

\*This is an acquisition position. There are statutory requirements as described in the Department of Energy Acquisition Career Development Program, DOE O 361.1, that must be met or waived prior to appointment. Certification to Level III under the Department of Energy Acquisition Career Development Program is required for this position. These requirements include completion of the following courses, or equivalent: CON 101, Fundamentals of Contracting; CON 104, Fundamentals of Contract Pricing; CON 202, Intermediate Contracting; CON 204, Intermediate Contract Pricing; and CON 210 Government Contract Law, CON 301, Executive Contracting; and CON 333, and Management for Contracting Supervisors. All qualification and legal requirements, including time in grade, must be met within 30 calendar days of the closing date of this announcement.

**RANKING FACTORS:** Applicants who meet the qualification requirements will be further evaluated to determine the extent to which their education, work-related experience, training, awards, and supervisory appraisals indicate they possess or have the potential to acquire knowledge, skills, abilities, and personal characteristics required to perform the duties and responsibilities of the position. All of the factors listed below will be used in the evaluation process.

1. Ability to manage a Department-wide purchase card program, conduct reviews of purchase card usage by Federal and contractor personnel, and perform analyses and make recommendations to management on conduct of the program.
2. Knowledge of Federal acquisition and financial assistance statutes and regulations applicable to the solicitation, award, administration, and closeout of acquisition and financial assistance instruments.
3. Knowledge of project management methodologies applicable to the development, implementation, and management of automated management information systems.
4. Knowledge of Federal and commercial practices, software, and hardware operating environments, for the development, implementation, and management of automated management information systems.
5. Ability to represent the Department in a wide range of professional inter- and intra-agency working groups.

**OTHER ELIGIBILITY REQUIREMENTS:** An appointee will be required to provide verification of U. S. citizenship and employment eligibility under the Immigration Reform and Control Act of 1986 (Public Law 99-603). If selected, a male applicant born after December 31, 1959, must confirm his selective service registration status.

---

**PRIORITY SELECTION:** *DOE Headquarters "surplus" and "displaced" employees*, as defined under the Career Transition Assistance Plan (CTAP), *who are duty-stationed at Headquarters within the commuting area*, who apply for and are determined to be well-qualified\* may receive selection priority. A position may be filled with a given Headquarters first-tier organization by a non-surplus and non-displaced employee from that organization when there are no eligible surplus and displaced employees within that organization. *DOE Headquarters employees located outside of the commuting area*, who are eligible and apply under CTAP provisions, and who are determined to be well-qualified\* may receive selection priority, though other qualified non-surplus and non-displaced Headquarters commuting area employees can be selected. **When applying, employees who are eligible under CTAP, must include a copy of their Certificate of Expected Separation, or a specific reduction-in-force separation notice which officially documents eligibility for special selection priority.** Special selection priority is **not** offered in circumstances that would result in a promotion; at the discretion of the agency, pay retention may be offered to Departmental employees who accept downgrades through the CTAP program.

\* To be considered **well-qualified** under CTAP, an employee must satisfy the following criteria: (1) meet OPM's eligibility requirements and basic qualification standards, including experience and, as applicable, requirements relative to positive education and certification, as well as selective placement factors; (2) fully meet the superior level of all ranking factors, and; (3) is physically qualified with reasonable accommodation.

**SPECIAL EMPLOYMENT PROGRAMS:** VRA eligibles (for positions at grade 11 and below), 30% disabled veterans, people with disabilities, and others may be eligible to apply under various special employment authorities. Applicants with disabilities who need reasonable accommodations for any part of the application and hiring process, are asked to notify the agency's Disabilities Coordinator. The decision on granting reasonable accommodations will be on a case-by-case basis. For information on other special employment authorities, please call the above number. Current employees eligible for priority consideration for repromotion may be considered; employees must furnish a copy of the SF-50 documenting their eligibility for grade and pay retention and must fully meet all ranking factors stipulated in this announcement. **In general: Please indicate on your application materials, the announcement number and specific category under which you wish to be considered, and provide appropriate documentation.**

**TO APPLY:** For each announcement under which application is made, the following items should be submitted: (1) a complete application or resume or Optional Form 612 (OF 612), "Optional Application for Federal Employment (Please refer to the attachment, "U.S. Department of Energy Headquarters Application Information Requirement,")". If a resume does not contain the required information, it may be supplemented by using OF 612 or by providing the information on bond paper; (2) a completed DOE F 3200.2 "Supervisory Appraisal of Potential Performance," attached to this announcement, or an explanation of why one is not enclosed; (3) the most recent performance appraisal of record, preferably completed within the last year, or a statement as to why one is not enclosed; (4) if you are a Federal employee not currently employed by the Department of Energy, or if you are a reinstatement eligible, a copy of your latest SF-50, "Notification of Personnel Action," that documents your competitive status and tenure; and (5) Copy of college transcript or proof of education requirements as explained under qualification requirements. **Failure to submit the aforementioned items may result in your not receiving adequate consideration.** Applicants are strongly encouraged to submit a statement of their knowledge, skills, and abilities as they relate to the ranking factors listed in this announcements.



*Attached is DOE Form 1600.7, "Applicant Disability, Race/National Origin and Sex Identification". This data is being collected to plan and evaluate the Department's recruitment of persons with disabilities, minorities and women, and to help ensure that our personnel practices meet the requirements of Federal law and regulation. The data you supply will be used for statistical analysis only. Submission of this information is voluntary. Failure to provide this information will have no effect on the processing of your application for Federal employment, and individual personnel selections are not made based on this information.*

Applications must be received or postmarked by the closing date. They should be sent to the U.S. Department of Energy, ME-532, Room 4E-084, Forrestal Building, 1000 Independence Avenue, S.W., Washington, D.C. 20585-0735. **As a result of the mail delays currently being experienced in the Washington, DC Metropolitan Area, we strongly suggest you use a delivery/courier service (i.e., FedEx, UPS, etc.), hand deliver, or FAX (202-586-4568) your application to ensure it is received by the closing date of the announcement. Please be advised that applications submitted via the U. S. Postal Service may not be received in a timely manner to be considered.**

Complete copies of DOE Headquarters Vacancy Announcements may be accessed via the Internet at:  
<http://chris.inel.gov/jobs/index.cfm?fuseaction> For specific information about this announcement, you may contact a personnel representative at (202) 586-8565. Vacancy announcements are not available at this telephone number.

Headquarters Employment Operations Team, ME-532  
Headquarters Human Resources Operations Division  
U.S. Department of Energy

Room 4E-084, Forrestal Building  
1000 Independence Avenue, S.W.  
Washington, D.C. 20585-0735

**PLEASE HAVE THIS APPRAISAL COMPLETED BY YOUR SUPERVISOR  
AND SUBMIT IT WITH YOUR APPLICATION TO THE ABOVE ADDRESS.  
SUPERVISORY APPRAISAL OF POTENTIAL PERFORMANCE**

Announcement Number: 03-ME-60-47

Position: Procurement Analyst, GS-1102-14

Applicant's Name: \_\_\_\_\_

Basis for Appraisal					Level of Potential Performance				
Please place an "x" as appropriate: OJP - On-the-Job Performance FT - Formal Training OA - Outside Activities UA - Unable to Appraise				<b>RANKING FACTORS</b> <i>(Knowledges, skills, abilities, and personal characteristics)</i>	Please place an "x" as appropriate: 4 - Outstanding 3 - Above Average 2 - Satisfactory 1 - Weak 0 - None				
OJP	FT	OA	UA		4	3	2	1	0
				1. Ability to manage a Department-wide purchase card program, conduct reviews of purchase card usage by Federal and contractor personnel, and perform analyses and make recommendations to management on conduct of the program.					
				2. Knowledge of Federal acquisition and financial assistance statutes and regulations applicable to the solicitation, award, administration, and closeout of acquisition and financial assistance instruments.					
				3. Knowledge of project management methodologies applicable to the development, implementation, and management of automated management information systems.					
				4. Knowledge of Federal and commercial practices, software, and hardware operating environments, for the development, implementation, and management of automated management information systems.					
				5. Ability to represent the Department in a wide range of professional inter- and intra-agency working groups.					

**NARRATIVE:** Please include any other information pertinent to the applicant's potential knowledge, skills, or abilities and personal characteristics that may not be adequately expressed above. (Attach additional sheets if needed.)

**IN WHAT CAPACITY ARE YOU MAKING THIS APPRAISAL?** (Please mark with an "x" as appropriate.)

☐ Present Immediate Supervisor
☐ Present 2nd Level Supervisor
☐ Other (Specify)

☐ Former Immediate Supervisor
☐ Former 2nd Level Supervisor

**PERIOD COVERED BY THIS APPRAISAL:** From: \_\_\_\_\_ To: \_\_\_\_\_

**APPRAISER:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Daytime Telephone Number

(If this appraisal is submitted directly by the appraiser, the applicant, upon request, will be permitted to review and obtain a copy of it.)

DOE F 3200.2 (9-96)

## U.S. Department of Energy Headquarters Application Information Requirements

Since December 31, 1994, the Federal Government has not required a standard application form for most jobs. However, certain information is needed to evaluate your qualifications and to determine if you meet legal requirements for Federal employment. Here's what your resume' or application must contain (in addition to any specific information requested in the vacancy announcement).

### VACANCY INFORMATION

- Announcement number, and title and grade(s) of the job for which you are applying.

### PERSONAL INFORMATION

- Full name, mailing address (with zip code) and day and evening phone numbers (with area code).
- Social Security Number.
- Country of citizenship. (Most Federal jobs require United States citizenship.)
- Veterans' preference.
- Reinstatement eligibility. (If requested in the announcement, attach SF50 proof of your career or career-conditional status.)
- Highest Federal civilian grade held. (Also give job series and dates held.)

### EDUCATION

- High school name, city, and state (zip code if known).
  - Date of diploma or General Equivalency Degree.
- College or university name, city, and state (zip code if known).
  - Majors, type and year of any degree received. (If no degree, show total credits earned and indicate whether semester or quarter hours.)
  - Send a copy of your college transcript only if it is requested on the vacancy announcement.

### WORK EXPERIENCE

- Give the following information for your paid and non-paid work experience related to the job for which you are applying. Do not send job descriptions.
  - Job title (include series and grade if Federal job).
  - Duties and accomplishments.
  - Employer's name and address.
  - Supervisor's name and phone number.
  - Starting and ending dates of employment (month and year).
  - Hours worked per week.
  - Salary.
- Indicate if your current supervisor may be contacted.

### OTHER QUALIFICATIONS

- **Job-related** training courses (title and year of each).
- **Job-related** skills; for example, other languages, computer software or hardware skills, operating knowledge of tools and machinery, typing speed.
- **Job-related** honors, awards, and special accomplishments; for example; publications, memberships in professional or honor societies, leadership activities, public speaking, and performance awards. (Provide dates but do not send documents unless requested.)

**Vacancy Announcement (non-bargaining unit position)**  
**(Actual sample)**



# ***U.S. Department of Energy***

## **Headquarters**

### ***DOEJOBS Online Merit Promotion Vacancy Summary***



(Click Here to read the Frequently Asked Questions)

PLEASE NOTE: THIS IS A SUMMARY OF THE ON-LINE MERIT PROMOTION ANNOUNCEMENT. TO SEE THE COMPLETE ANNOUNCEMENT AND APPLY FOR THIS POSITION YOU MUST REGISTER ON

LINE AT

[HTTPS://JOBSONLINE.DOE.GOV](https://jobsonline.doe.gov)

**NOTE: ALL SELECTIONS AND TENTATIVE OFFERS ARE CONTINGENT UPON SUBMISSION AND VERIFICATION OF ANY REQUIRED DOCUMENTATION, I.E., OFFICIAL TRANSCRIPTS, DD-214'S, SF-15'S, CTAP/ICTAP DOCUMENTATION, SF-50'S, ETC. NO SELECTEE WILL BE ALLOWED TO ENTER ON DUTY WITHOUT VERIFICATION OF REQUIRED DOCUMENTS, WHICH WILL BE REQUESTED BY THE PERSONNEL OFFICE VIA EMAIL ONCE THIS VACANCY ANNOUNCEMENT HAS CLOSED.**

**Vacancy Announcement Number:** 02-ME-60-09-QH

**Position Title, Series and Grade:** Correspondence Management Specialist, GS-301-7/9/11

**Promotion Potential:** GS-11

**Bargaining Unit:** No

**Salary:** GS-7 \$31,397 - \$40,818

GS-9 \$38,406 - \$49,924

GS-11 \$46,469 - \$60,405

(Salary includes year 2001, 11.48% locality-based adjustment for the Washington-Baltimore area (DC-MD-VA-WV-St. Mary's County, MD).

**Opens:** 4/05/02      **Closes:** 4/19/02

**Number of positions:** 1

**DUTY STATION:** Washington, DC

**Area of Consideration: DOE Headquarters Status Candidates**

**Note:** Newly appointed supervisors/managers must serve a one-year probationary period.

**TYPE OF APPOINTMENT:** Competitive, Career-Conditional or Career (employment is subject to successful completion of a one-year probationary period.)

This position is located in:

Office of Management, Budget and Evaluation

Office of Procurement and Assistance Management

Office of Management Systems & Services, Management Services Division

Washington, DC

Questions regarding this announcement should be referred to: Marvin Jackson

U.S. Department of Energy Headquarters

1000 Independence Avenue, SW

Forrestal Technical Programs Team, ME-532

Washington, DC 20585

Telephone (202) 586-8481

**How to Apply for this Vacancy Announcement:**

Applications (resume and application questions) for this vacancy **MUST** be received on-line via the DOE Jobs ONLINE web site before midnight Eastern Time on the closing date of this announcement. If you fail to submit a **COMPLETE** online resume, you **WILL NOT** be considered for this position. Paper applications **WILL NOT** be accepted and requests for extensions **WILL NOT** be granted. All required supplemental application materials will be requested from you through email to be submitted, via fax. If applying online poses a hardship to any applicant, the Servicing Personnel Office listed on the announcement will provide assistance to ensure that applications are submitted online by the closing date. If applicants have a problem applying online they must contact the Servicing Personnel Office **PRIOR TO THE CLOSING DATE** to speak to someone who can provide assistance for online submission. The DOE Jobs ONLINE web site can be accessed at <https://jobsonline.doe.gov/>. Next, click on 'Login to DOE Jobs ONLINE.' A welcome screen will appear, prompting you through the system and allowing you to apply for jobs. New users must click the button marked "New User" and register before being able to use the system.

**NOTE:** Your answers to questions in your online application will be verified against information you provide on your application and/or by reference checks. The level of education, experience, and/or training you claim must be supported in your application. Falsifying your background, education, and/or experience is cause for not hiring you or for barring you from Federal employment. A complete resume in your online application is mandatory for consideration.

Resume portion of application must be complete with the following information or application may be marked "Ineligible" for this position:

Name

Address

Phone Number

S.S.N.

Dates of All employment listed

Title, Series and Grades (if Federal)

Detailed description of employment experience RELATED to work of position applying for

List and Dates of Education (if applicable)

List and Dates of coursework (if applicable)

#### **DUTIES AND RESPONSIBILITIES:**

The incumbent performs various duties in support of several organization-wide administrative systems relating to correspondence, internal controls, and mail and files. The incumbent establishes requirements for the development and implementation of computer-based systems, and develops and implements administrative procedures for processing and tracking correspondence and other written reports and documentation; directs centralized procurement mail and files operations; and supports the Director, Management Services Division on organizational internal control matters. Conducts periodic studies and analyses of the Office's correspondence, records management, and mail and file activities. Oversees the day-to-day operation of the organization's correspondence system. Reviews correspondence requiring the signature of the Director to assure that; policy and procedural requirements have been followed.

**QUALIFICATIONS:** An applicant must have one year of specialized experience that is directly related to the duties of this position and possess the particular knowledge, skills, and abilities to successfully perform the duties of the position. To be creditable, specialized experience must have been at least equivalent to the next lower grade level in the Federal Service for the normal line of progression for the occupation. All qualification and legal requirements, including time-in-grade, must be met within 30 calendar days of the closing date of this announcement.

If education is listed in the QUALIFICATION REQUIREMENTS statement (above), you will be notified via email to submit copies of college transcripts or a list of college courses taken that identify for each course, the name of the college or university, semester or quarter hours earned, grade and grade-point received. If selected, you will be required to submit an **official transcript** for proof of education. **Failure to submit the aforementioned items may result in your not receiving consideration.**

**PRIORITY SELECTION:** *DOE Headquarters "surplus" and "displaced" employees*, as defined under the Career Transition Assistance Plan (CTAP), *who are duty-stationed at Headquarters within the commuting area*, who apply for and are determined to be well-qualified\* may receive selection priority. A position may be filled within a given Headquarters first-tier organization by a non-surplus and non-displaced employee from that organization when there are no eligible surplus and displaced employees within that organization. *Departmental applicants located outside the Headquarters commuting area*, who are eligible and apply under CTAP provisions, and who are determined to be well-qualified may receive selection priority, though other qualified non-surplus and non-displaced Headquarters commuting area employees can be selected. *Former Headquarters commuting area employees* who are eligible under appropriate reemployment priority list (RPL) procedures may receive selection priority; as well

as *Current and Former Federal employees* eligible and who apply under the Interagency Career Transition Assistance Plan (ICTAP) (\*Note: ICTAP only applicable to merit promotion announcements advertised outside Department of Energy).

**When applying, employees who are eligible under CTAP, RPL, and ICTAP, as applicable, must include a copy of their Certificate of Expected Separation, specific reduction-in-force separation notice, or the separation Notification of Personnel Action (SF-50), which officially documents eligibility for special selection priority.** In those recruiting circumstances where it is possible for employees and former employees eligible under all three programs to apply, the order of referral is CTAP applicants, followed in turn by RPL and ICTAP applicants. Special selection priority is **not** offered in circumstances that would result in a promotion; at the discretion of the agency, pay retention may be offered to Departmental employees who accept downgrades through the CTAP program.

To be considered **well-qualified** under CTAP and ICTAP, an employee must satisfy the following criteria: They must meet OPM's basic qualification standards and eligibility requirements\*, any selective factors identified in the vacancy announcement, and score at least 85 points based on the online job related questions (not including veteran preference points). In addition, the employee must meet any special OPM qualifying conditions; be physically qualified (with reasonable accommodation) to perform the essential duties of the position; and, be able to satisfactorily perform the duties of the position upon entry. [\* includes any medical qualifications, suitability, and minimum educational and experience requirements].

To be eligible for selection under RPL procedures, a former Headquarters commuting area employee must either (1) describe their current qualifications for the position, or (2) submit a narrative statement indicating that he or she has the capacity, adaptability, and special skills needed to satisfactorily perform the duties of the position within 90 calendar days.

**SPECIAL EMPLOYMENT PROGRAMS:** VRA eligibles (for positions at grade 11 and below), 30% disabled veterans, people with disabilities, and others may be eligible to apply under various special employment authorities. Preference eligibles and veterans who have been separated from the armed forces under honorable conditions after 3 years or more of continuous service may apply under the provisions of the Veterans Employment Opportunities Act (VEOA) of 1998. (Note: VEOA only applicable to merit promotion vacancy announcements advertised outside of the Department of Energy.) Individuals claiming 5-point preference **must** submit their DD-214; those claiming 10-point preference **must** submit in addition an SF-15, "Claim for 10-point Veteran Preference," and the proofs stipulated therein. Applicants with disabilities who need reasonable accommodations for any part of the application and hiring process, are asked to notify the agency's Disabilities Coordinator on (202) 586-8583. The decision on granting reasonable accommodations will be on a case-by-case basis. For information on other special employment authorities, please call the above number; TDD users may call (202) 586-6155. Current employees eligible for priority consideration for repromotion may be considered; employees must furnish a copy of the SF-50 documenting their eligibility for grade and pay retention and must fully meet all ranking factors stipulated in this announcement. **In general: Please identify the announcement and notice number to which you are applying, indicate the special employment authority under which you wish to be considered, and provide all**



**appropriate documentation.**

#### **INSTRUCTIONS FOR USING DOE JOBS ONLINE:**

The following information will take you step by step through the screens you will need to complete in applying for positions via DOE Jobs Online:

1. Screen: "Welcome to DOE Jobs Online." At this screen click the "New User" button if you are a new user and click "Next" at the bottom of the screen. If not a new user, type in email address and password and click either "Edit Personal Information" or "Go To Jobs" to apply for a position (proceed to number 5).
2. Screen: "User Information." Answer ALL questions and either cut and paste OR type in your resume in the space provided. (System will accept approximately 6 to 7 pages). Click "Next" when all information has been input.
3. Screen: "All Questions require a response to be considered for any position." Answer ALL questions and click "Continue" at the bottom of the screen.
4. Screen: "Your Registration Information Has Been Saved!" Read information on this screen and then click "Next" at the bottom of the screen when you are ready to apply for a position.
5. Screen: "Welcome (Name)! Please select the link to the organization to which you wish to apply." Click "US Department of Energy."
6. Scroll down the listing and select the vacancy you wish to apply to by clicking that announcement number.
7. Screen: Vacancy Announcement. Scroll down to the end of the vacancy announcement and answer ALL questions that follow. Click "Finish" at the bottom of the screen to complete application process.

The DOE Jobs Online system will send a confirmation to your email address that your application has been received if you choose that option.

**The U.S. Department of Energy is an Equal Opportunity Employer.**

**Sample Position Description  
(Actual sample)**

**Administrative Support Specialist**  
**GS-0301-07**

**INTRODUCTION**

This position is located in the Office of Management and Administration, Office of Procurement and Assistance Management, Office of Headquarters Procurement Services, Management Services Division. Work is performed in a consolidated matrixed environment where the duties performed by the incumbent are a combination of basic procurement and human resource technical, administrative, secretarial and clerical work, and program and administrative support of the Office of Headquarters Procurement Services. The incumbent receives assignments designed to develop knowledge, skills, and abilities required to perform duties at the full performance level. As overall experience is gained progressively more reliance will be placed on the incumbent until full responsibility for assignments is assumed.

**DUTIES**

**1. Administrative Support (60%)**

- a. Performs administrative support functions for Office of Headquarters Procurement Services; receives telephone calls and visitors, screening and routing calls which can be handled without supervisor's help; receives and controls mail, as required, re-directing items that can be routed directly to the appropriate organization or individual for action; assembling background information before routing to supervisor and notifying of pending delays, if any. Incumbent reviews outgoing correspondence for signature of the appropriate individual and higher level officials for proper format.
- b. Determines extent and nature of requests for organizational information; determines suspense dates, and if special coordination is needed for incoming actions, i.e., Freedom of Information Act requests, Office of Inspector General and General Accounting Office reports, congressional correspondence, etc. Incumbent researches issues and subjects pertinent to information being requested; ensures terminology is appropriate and accurate and coordinates with responsible staff to assemble final correspondence packages for approval and release; prepares standard correspondence for general inquiries; develops standard opening and closing responses for correspondence requiring technical substance.
- c. Interacts with staff and other organizations to coordinate processing and distribution of Individual Development Plans, position descriptions, job vacancy information, annual project status reports (e.g. Balanced Scorecard initiatives) for the Director and staff, and notifies of suspense dates for timely processing of documents, correspondence and actions. Incumbent may be required to receive and control incoming correspondence and documents, to reply to mail not requiring the Director's attention, route and/or distribute actions assigned to internal units within the Office of Headquarters Procurement Services and to follow up to ensure such actions are properly completed.
- d. Process and coordinate training, travel, requisitions and office relocation actions, verifies such actions for accuracy and ensures that supporting justification documents are provided as necessary. Serves as lead liaison for Office of Headquarters

Procurement Services concerning staff training programs for mandatory procurement certification and continuing education requirements. Provides administrative support in the areas of scheduling, tracking actions, drafting/finalizing correspondence, records management, suspense/control of work assignments, reports and records automation management, and assigned special projects.

- e. Performs copying, scanning and editing processing duties related to paperless office projects, coordinates receipt and return of official contract file folders to organizational personnel. Handles official contract file documents in an accurate and disciplined manner to ensure that the integrity and the organization of the contract files remains intact.
- f. Provides necessary administrative support for in-house training seminars including making arrangements for physical location, announcement of training subject and schedule to all eligible participants, coordination and set-up of training equipment for instructors/speakers and the preparation and distribution of training materials. Maintains and updates organizational in-house training files.
- g. Provides administrative support for specialized organizational functions such as the Welfare-to-Work Program, Customer Outreach Seminars, Woman-Owned Business Fairs, Supplier Forums and other like events, communicates with program customers and business firms to solicit specific program support as necessary.
- h. Provides administrative support to organizational representative responsible for the management of external audits by Inspector General, GAO and Congressional Staff. Such duties may include scheduling and selection of physical space for audit team, gatherings of files and other informational documents requested, coordination of interviews and return of organizational files to proper contracting officers.
- i. Receives and ascertains purpose of requests for information for "Doing Business with the Department of Energy" and independently provides necessary prompt and courteous service to assist and satisfy the request. If the call requires assistance or action by a professional member of the staff and/or program official, will take all necessary action to ensure the prompt interface of appropriate parties.
- j. Performs initial administrative processing of justification for Contracting Officer Warrants, including obtaining all necessary approvals, perform printing of contracting officer warrant document, obtaining contracting office warrant document concurrence and signatures, and perform all necessary distribution and maintenance of related files.

## **2. Technical Support 20%**

- a. Assists in developing and distribution of written and graphic presentations performed by the organization.
- b. Assists in preparation of briefing materials and packages for the Procurement Executive to inform senior Departmental officials about procurement policies and

issues. Interacts with staff and other organizations to collect information necessary for inclusion in informational packages, updating of statistical data, and other information regarding procurement initiatives, contract awards and administration issues.

### 3. Budget20%

- a. Performs routine budget support functions in the review of portions of the Office budget; under the direction of the Director, reviews and consolidates a variety of narrative information and statistical data provided by the Director and staff.
- b. Incumbent inputs budget data on a variety of forms and formats, including automated systems and spreadsheets, schedules and reports, and verifies from basic source documents accuracy of data submitted; monitors and tracks obligations and expenditures for support functions including travel, training, supplies and equipment. Incumbent prepares and verifies accuracy and adequacy of budget justification data; tabulates cost data for program areas and applies basic statistical formulas to budgetary data. The incumbent advises Director or staff members of significant problems or trends and makes recommendations on needed changes, precedent actions, and on sensitivity issues concerning office expenditures.

Performs other related duties as assigned.

#### Factor 1 - Knowledge and Skills Required by the Position

Knowledge of the Office of Headquarters Procurement Services, departmental procurement, human resource and administrative procedures, manuals, regulations, policies, and standards to provide program and administrative support and assistance to the Director and the organizational staff.

Knowledge of the functions and responsibilities of the office, the Director and internal office staff relationships, priorities and workload.

Analytical skill sufficient to research and conduct administrative assignments to provide data and other information to decision makers regarding the organizational budget, human relations and procurement processes.

Knowledge of management information system/office automation applications, principles and practices, as well as skill in fact finding, research, and basic analytical and problem solving methods and techniques.

Skill in written and oral communications to prepare and respond to inquiries and information requests and to represent the office with a variety of individuals.

#### Factor 2 - Supervisory Control

Works under the direct supervision of the Management Services Division Director, Office of

Headquarters Procurement Services. Receives assignments with the general work objectives, parameters, and priorities established by the Director. Incumbent independently develops work methods. New or unusual situations or problems require incumbent to obtain additional instructions. The supervisor is kept apprised of the work being performed and provides the incumbent with any comments received concerning the work. Work is reviewed for technical accuracy and adequacy of recommendations and conclusions.

### Factor 3 - Guidelines

The employee follows procedures, policies, formats, and practices available through such guidelines as DOE Orders, and directives, as well as Federal regulations associated with government-wide rulemaking procedures. Available guidelines are specific to most work situations encountered. The incumbent uses judgment in selecting the appropriate portion of guides for use in completing assignments. Interprets and adapts Departmental and Federal Government regulations when applicable to provide office support to staff. Interpretations and adaptations to guidelines are subject to the supervisor's approval.

### Factor 4 - Complexity

The incumbent performs a variety of administrative assignments in support of the Director and office staff. Assignments reflect a matrixed environment where the duties performed cross classification lines and are mixed in nature, i.e., part clerical and administrative and part technical, with none predominate. Assignments range from routine to more complex activities. The incumbent must communicate administrative and automated formats, requirements and procedures to technical program managers. Incumbent reviews work products submitted to the Director for consistency with guidance and compliance with Departmental regulations. In the budget area, incumbent ensures that the form and content of various reports are consistent with funding guidelines and ceilings, and that the data itself is consistent and accurate. Work involves comparing and contrasting current and historical budget and workload data for activities such as equipment purchase and maintenance, or travel, to discern trends in spending and anticipate needs for additional funds.

### Factor 5 - Scope and Effect

The primary purpose of the work is to facilitate the efficient operation of the Office by providing administrative, budgetary, and technical support. The incumbent works closely with higher graded Analysts in completing smaller, less complicated portions of program functions. The incumbent investigates and analyzes numerous projects, proposed and/or existing programs. The results of these studies may have strong impact on the efficiency and effectiveness of future office operations. The work contributes to the improved productivity and utilization of the various databases (as discussed in Part 2) relied upon by the office and Departmental staff.

### Factor 6 - Personal Contacts

Contacts include organizational employees, as well as management and staff from other Headquarters' components, and field organizations, and other Federal agencies.

Factor 7 - Purpose of Contacts

The purpose of these contacts is coordination, gather and analyze data, and to resolve issues pertinent to the Headquarters personnel program.

Factor 8 - Physical Demands

Work is sedentary in nature.

Factor 9 - Work Environment

Work is generally performed in an office setting.

**Job Analysis  
(Actual sample)**



# JOB ANALYSIS FORM

**Position: Administrative Support Specialist**  
**Series, Grade: GS-0301-07**

**Personnel Specialist:**  
**Subject Matter Expert: Aleta Boylan**

Job Activity	KSA	Weight	Evidence
Receives and controls mail, screening those items which can be handled personally, routing items directly to the appropriate organization or individual for action, assembling background information and making recommendations for action before routing mail to the supervisor, and notifying the supervisor of pending delays and reasons.	Ability to exercise judgment and assume responsibility for decisions made in analyzing data and making recommendations to management for action(s).	1	Experience and specific examples of situations demonstrating exercise of sound judgment and responsible handling of management information.
Acts as Office Manager on human resource and administrative matters. Coordinates the processing of Individual Development Plans, position descriptions, vacancy announcements, and workload status reports . Processes and coordinates training, travel and requisition actions. Assists in building budgets associated with these activities as well as monitoring YTD performance against the budgets.	Knowledge of administrative concepts and practices.	1	Specific significant experience and personal involvement in activities to ensure the administrative operations of a moderately sized office.

<u>Job Activity</u>	<u>KSA</u>	<u>Weight</u>	<u>Evidence</u>
Manages processes for the development and maintenance of procurement policy regulations, guides, handbooks, brochures and other types of guidance/publications. Assists in the preparation and review of policy documents and ensures compliance with office procedures.	Knowledge of processes and procedures related to the development of procurement regulations, handbooks, and brochures.	1	Personal experience and/or academic training which demonstrates a general knowledge of the subject matters.
Produces a variety of written documents utilizing a personal computer, and when required develops applications to utilize databases or spreadsheet software to manipulate, sort and report statistical information.	Skill in operating computer systems including word processing and spreadsheet functions.	1	Substantial and meaningful experience in the daily use of standard word processing, mail and spreadsheet programs.
Interacts with Headquarters and office staff and field professionals, as necessary, to collect information and data necessary for organizational briefings by the Office Director and publication/dissemination of information either Headquarters- or Department-wide.	Ability to meet and work with individuals with varied technical expertise and to be successful working toward mutual goals.	1	Demonstrated ability to successfully work with a wide range of professionals to effectively communicate requirements.

**Crediting Plan  
(Actual sample)**

**Crediting Plan**  
**Administrative Support Specialist, GS-301-07**

- 1. Ability to exercise judgment and assume responsibility for decisions made in analyzing data and making recommendations to management for action(s).**

**Outstanding (4 points)**

- Applicant's experience and performance record demonstrate the ability to effectively exercise sound judgment and assume responsibility for the handling of analytical information and data.

Example: Experience includes using reasonable sound judgment in analyzing the extent and nature of information being requested; researches and compiles background information and/or data and makes recommendations for action to the supervisor. Advises the supervisor of pending delays and reasons.

**Highly Successful (3 points)**

- Applicant's experience and performance record demonstrate the ability to use reasonable sound judgment in the handling of analytical data.

Example: Experience includes using judgment in analyzing the extent and nature of information being requested; researches and compiles background information and/or data. Provides the data to the supervisor for action determination.

**Fully Successful (2 points)**

- Applicant's education, experience, and performance record demonstrate a fully successful performance in compilation of technical data.

Example: Experience includes compiling and analyzing information from a variety of sources and selecting appropriate formats for findings. Provides the data to the supervisor for action determination.

**Marginal (1 point)**

- Applicant's experience and performance record demonstrate a general knowledge of administrative management techniques commensurate to that of a journey person, and has demonstrated a potential for developing a greater understanding of the more exhaustive requirements of the position.

Example: Experience includes compiling data from a variety sources and

present findings in a prescribed format to the supervisor. Seeks guidance from the supervisor as to what data should be included and the format that the supervisor deems necessary to complete the project(s).

## **2. Knowledge of administrative concepts and practices.**

### **Outstanding (4 points)**

- Applicant's substantial experience and performance record demonstrate ability to act as Office Manager for human resource and administrative matters for the office or worked closely with such an individual to ensure the effective operation of a moderately sized office.

Example: Experience includes the interaction with staff and other organizations in order to provide assistance in analyzing, recommending and implementing administrative regulations and procedures, including those pertaining to human resources, logistics and information management to ensure effective operation of a moderately sized office.

### **Highly Successful (3 points)**

- Applicant's experience and performance record demonstrate the ability to participate in or assist the Office Manager on human resource and administrative matters for the office or worked closely with such an individual to ensure the effective operation of a moderately sized office.

Example: Experience includes the interaction with staff and other organizations in order to provide assistance in implementing administrative regulations and procedures, including those pertaining to human resources, logistics and information management.

### **Fully Successful (2 points)**

- Applicant's education, experience, and performance record demonstrate involvement in the planning, development and execution of administrative and systems activities performed in a moderately sized office.

Example: Experience includes the interaction with staff in the planning, development and execution of administrative and systems activities performed in a moderately sized office.

**Marginal (1 point)**

- Applicant's experience and performance record demonstrate a general background commensurate with a journey person, and training would indicate the potential to perform at a higher level.

Example: Experience includes a general background in administrative work, i.e., providing assistance to the supervisor for requesting administrative services for a moderately sized office.

**3. Knowledge of processes and procedures related to the development of procurement regulations, handbooks, and brochures.**

**Outstanding (4 points)**

- Applicant's experience and performance record demonstrate substantial involvement in or associated with the work of professional staff in the processes and procedures related to the development of procurement regulations, handbooks, and brochures.

Example: Experience includes management of the processes for the development and the maintenance of procurement policy, regulations, guides, handbooks, brochures and other types of guidance/publications. Assists in the preparation and review of policy documents and ensures compliance with office procedures.

**Highly Successful (3 points)**

- Applicant's experience and performance record demonstrate involvement in or associated with the work of professional staff in the processes and procedures related to the development of procurement regulations, handbooks, and brochures.

Example: Experience includes involvement in the processes for the development and the maintenance of procurement policy, regulations, guides, handbooks, brochures and other types of guidance/publications. Assists in the preparation of policy documents for the review of professional staff to ensure compliance with office procedures.

**Fully Successful (2 points)**

- Applicant's experience and performance record demonstrate minimum involvement in or associated with the work of professional staff in the processes and procedures related to the development of procurement regulations, handbooks, and brochures.

Example: Experience includes involvement in the processes for the maintenance of procurement policy, regulations, guides, handbooks, brochures and other types of guidance/publications. Assists in the preparation of routine policy documents for the review of professional staff to ensure compliance with office procedures.

**Marginal (1 point)**

- Applicant's training, experience and performance record demonstrate fundamental knowledge in the maintenance of procurement policy, regulations, guides, handbooks, brochures and other types of guidance/publications and procedures related to the development of procurement regulations, handbooks, and brochures.

Example: Experience includes typing and/or compiling data that is supplied by the professional staff into procurement policy, regulations, guides, handbooks, brochures and other types of guidance/publications. When directed, prepares routine policy documents for the review of professional staff to ensure compliance with office procedures.

**4. Skill in operating computer systems including word processing and spreadsheet functions.**

**Outstanding (4 points)**

- Applicant's performance record clearly demonstrates substantial and meaningful experience in the daily use of WordPerfect 8, Microsoft Word, Power Point, Excel, Access and other computer-based data management and spreadsheet systems.

Example: Experience includes preparing briefing packages, statistical spreadsheets, i.e., budget justification data sheets, schedules and reports, and can use databases for tracking various initiatives by the office; using the software packages that are currently available at the Department.

**Highly Successful (3 points)**

- Applicant's performance record demonstrates experience in the daily use of WordPerfect 8, Microsoft Word, Power Point, Excel, Access and other computer-based data management and spreadsheet systems.

Example: Experience includes preparing briefing packages, statistical spreadsheets, i.e., budget justification data sheets, schedules and

reports; is familiar with databases systems.

**Fully Successful (2 points)**

- Applicant's performance record demonstrates periodic experience with computer-based data management systems.

Example: Experience includes periodic use of computer-based data management systems.

Exceeds experience defined for point 1, but does not meet definition for 2 points.

**Marginal (1 point)**

- Applicant's general academic performance record indicate the ability to become proficient in the use of word processing systems.

Example: Experience includes the use of WordPerfect 8 in preparing routine correspondence for supervisor's signature.

5. **Ability to meet and work with individuals of varied technical expertise levels and be successfully in working toward mutual organizational goals.**

**Outstanding (4 points)**

- Applicant's experience and performance record clearly demonstrate the successfully recognized involvement with high level management, or equally successful involvement with significant numbers of organizational customers.

Example: Experience includes the interaction with Headquarters, field and office staff in order to perform administrative support functions within the office, i.e., receives telephone calls and visitors, receives and controls mail, re-directing those items that can be routed directly to the appropriate organization or individual for action, reviews outgoing correspondence for signature of the appropriate individual or higher level official for proper format and reviews portions of the office's budget while performing routine budget support.

**Highly Successful (3 points)**

- Applicant's experience and performance record demonstrate involvement with high level management, or equally successful involvement with significant numbers of organizational customers.



Example: Experience includes the interaction with Headquarters, field and office staff in order to perform administrative support functions within the office, i.e., receives telephone calls and visitors, receives and controls mail, seeks guidance on re-directing those items that can be routed directly to the appropriate organization or individual for action, reviews outgoing correspondence for signature of the appropriate individual or higher level official for proper format and performs routine budget support functions.

**Fully Successful (2 points)**

- Applicant's experience and performance record demonstrate involvement with management, or equally successful involvement with significant numbers of organizational customers

Example: Experience includes the interaction with office staff in order to perform administrative support functions within the office, i.e., receives telephone calls and visitors, receives mail, seeks guidance on re-directing those items that can be routed directly to the appropriate organization or individual for action, reviews outgoing correspondence for signature of the appropriate individual or higher level official for proper format.

**Marginal (1 point)**

- Applicant's experience and performance record demonstrate the ability to deal courteously with individuals at all levels.

Example: Experience includes the interaction with office staff in order to perform administrative support functions within the office, i.e., receives telephone calls and visitors, receives mail, seeks guidance on re-directing those items that can be routed directly to the appropriate organization or individual for action.

### **SECTION III**

#### **OTHER GUIDANCE MATERIAL**

Office of General Counsel Hearing Officers Guide on:

- Confidential employees
- Employees engaged in personnel work
- Management officials
- Supervisors
- Team Leaders

Position Sensitivity Designations

19 **Confidential employee**

"Confidential employee" is defined in Section 7103(a)(13) of the Statute as:

... an employee who acts in a confidential capacity with respect to an individual who formulates or effectuates management policies in the field of labor-management relations.

A unit is not appropriate if it includes confidential employees [section 7112(b)(2)].

An employee is a "confidential" if (1) there is evidence of a confidential working relationship between an employee and a supervisor or manager and (2) the supervisor or manager is significantly involved in labor-management relations. This two-part, labor-nexus test is used to examine the nature of an employee's confidential working relationship. See *U.S. Department of Labor, Office of the Solicitor, Arlington Field Office*, 37 FLRA 1371 (1990). Both factors must be present for an employee to be considered "confidential" within the meaning of section 7103(a)(13). See *U.S. Army Plant Representative Office, Mesa, Arizona*, 35 FLRA 181 (1990). Thus, a determination of confidential status is dependent upon the work performed by the individual with whom the employee works. This individual may be the employee's supervisor or may be another manager.

An individual who actually formulates or effectuates management policies in the field of labor-management relations is considered a confidential employee. *U.S. Department of Housing and Urban Development, Washington, D.C.*, 35 FLRA 1249, 1255-57 (1990). Other responsibilities identified by the Authority in this regard include:

- a. advising management on or developing negotiating positions and proposals,
- b. preparing arbitration cases for hearing, and
- c. consulting with management regarding the handling of unfair labor practice cases.

*U.S. Department of Justice, Federal Bureau of Prisons, U.S. Penitentiary, Marion, Illinois (DOJ)*, 55 FLRA 1243 at 1247 (2000).

- d.. engaging in partnership activities that includes the formulation and effectuation of labor relations policies. *See U.S. Department of Transportation, Federal Aviation Administration, Standiford Air Traffic Control Tower, Louisville, Kentucky*, 53 FLRA 312, 319 (1997) (collective bargaining may occur in a variety of ways, including the use of collaborative or partnership methods). *DOJ*, 55 FLRA 1246 at n.5

Other individuals who are privy to labor-management relations policies as they are developed are excluded on the basis of confidential status, because their inclusion in a bargaining unit would create a conflict of interest between the employee's work duties and unit membership.

Therefore, at a hearing it is necessary to explore not only the work of the employee whose status as a confidential is in dispute, but also the work of the person with whom or for whom the disputed employee works. It is also important to focus on the stage at which this confidential employee is involved in the process by which management labor-relations policies are developed (i.e., is the employee present during the development of the policies, or does the employee's involvement occur after the management policy has been developed and decided). An employee's mere access to labor relations material does not justify unit exclusion.

★ access

***See HOG 55 for specific guidance about this topic at hearing.***

***Other references:***

*Department of Veterans Affairs, Regional Office, Waco, Texas*, 50 FLRA 109, 111-12 (1995).

*Department of Interior, Bureau of Reclamation, Yuma, Arizona*, 37 FLRA 239 (1990).

*U.S. Department of Labor*, 33 FLRA 265 (1988). (Authority rejected union's argument that a limited amount of actual confidential labor relations work does not provide a substantial basis for excluding employees from a bargaining unit.)

*Tick Eradication Program, Veterinary Services, Animal and Plant Inspection Service, United States Department of Agriculture*, 15 FLRA 250 (1984).

Red River Army Depot, Texarkana, Texas, 2 FLRA 659, 660 (1980).

*Associated Day Care*, 269 NLRB 178, at 181(1984) ("It is well established that mere access to confidential labor relations material such as personnel files, minutes of management meetings, and grievance responses is not sufficient to confer confidential status; even the typing of such material does not, without more, warrant a finding of confidential status. Thus, unless it can be shown that the employee has played some role in creating the document or in making the substantive decision being recorded, or that the employee regularly has access to labor relations policy information before it becomes known to the union or employees concerned, the Board will not find the employee to have confidential status. Based on the record evidence, we find that the Employer's administrative assistants are expected to play a role in the investigation of grievances which will affect the decision made by management on the merits of a grievance and that this is sufficient to render them confidential employees. Furthermore, we find that they are expected to have regular access to, and on occasion to type, memoranda concerning management proposals for collective bargaining before these proposals are presented to the Union; we also note that they will regularly see the minutes of the weekly management meetings at which management proposals for collective bargaining will be discussed. While the administrative assistants may spend relatively little of their working time performing these duties, the amount of time devoted to labor relations matters is not the controlling factor in determining confidential status.")

*mere  
access +  
typing*

*admin  
assistants*

*NLRB v. Hendricks County Rural Electric Membership Corp.*, 454 U.S. 170, at 189 (1981) (The Supreme Court upheld "labor nexus" test for excluding confidential employees, i.e., that the Board will exclude confidential secretaries from bargaining units only if those employees "assist and act in a confidential capacity to persons who formulate, determine, and effectuate management policies in the field of labor relations.")

**Confidential employee**

"Confidential employee" is defined in Section 7103(a)(13) of the Statute as:

... an employee who acts in a confidential capacity with respect to an individual who formulates or effectuates management policies in the field of labor-management relations.

A unit is not appropriate if it includes confidential employees [section 7112(b)(2)].

An employee is a "confidential" if (1) there is evidence of a confidential working relationship between an employee and a supervisor or manager and (2) the supervisor or manager is significantly involved in labor-management relations. This two-part, labor-nexus test is used to examine the nature of an employee's confidential working relationship. See *U.S. Department of Labor, Office of the Solicitor, Arlington Field Office*, 37 FLRA 1371 (1990). Both factors must be present for an employee to be considered "confidential" within the meaning of section 7103(a)(13).

At a hearing the Hearing Officer explores not only the work of the employee whose status as a confidential is in dispute, but also the work of the person with whom or for whom the disputed employee works. It is also important to focus on the stage at which this confidential employee is involved in the process by which management labor-relations policies are developed (i.e., is the employee present during the development of the policies, or does the employee's involvement occur after the management policy has been developed and decided). ★

*For guidance on "confidential employees," see RCL 19.*

**Relevant information:**

- 1) Documentation, such as the mission statement, organizational and functional charts of the Activity, locating not only where the alleged confidential employee is found on the chart, but also the individual(s) for whom the employee works in a confidential capacity.

- 2) Testimony and documentation as to the actual duties of the employee, focusing especially upon the employee's assigned tasks that result in the employee being involved in labor-management relations.
- a) Obtain testimony from the individual about his/her daily routine (obtain a copy of the position description and performance standards).
  - b) Obtain testimony from the individual about his/her participation and attendance at management meetings where discussions ensue concerning labor relations issues, contract negotiations strategies and proposals and personnel policies. Determine the involvement of the employee at these meetings: note taker, etc. ★
  - c) Obtain testimony from the individual about his/her participation in the preparation of management's responses for grievances, unfair labor practices, negotiation demands, proposed disciplinary actions and other personnel actions that may result in the filing of grievances under the negotiated grievance procedure. ★
  - d) Obtain testimony from the individual about the nature and extent of the employee's access to confidential information concerning other employees and management labor relations policies and plans.
  - e) Obtain testimony from the individual about the types of advice or assistance the employee gives to other employees or supervisors or managers in labor relations/personnel matters.
  - g) What is the percentage of time employee spends in above activities?
  - h) Percentage of time that the employee spends doing other activities such as typing, filing documentation constituting labor-management materials?
- 3) Testimony and documentation regarding the individual who formulates or effectuates management policies in the field of labor-management relations.

## *Manager's duties:*

- a) Obtain a copy of the position description and performance standards.
- b) Obtain testimony from the individual about his/her responsibility for establishing, interpreting, or implementing personnel/labor relations policies.
- c) Obtain testimony from the individual about his/her actual participation in contract negotiations and development of contract proposals.
- d) Obtain testimony from the individual about his/her participation in handling grievances/arbitrations and disciplinary and adverse actions, and obtain examples of grievance decisions, replies to proposed disciplinary actions, etc.
- e) Obtain testimony from the individual about his/her participation in labor-union meetings?
- f) Obtain testimony from the individual about his/her participation and involvement in Equal Employment Opportunity Complaints, Merit Systems Protection Board Proceedings, awards, and promotions.
- g) What is the nature of this person's attendance and participation at Agency meetings at which sensitive labor relations matters are discussed and deliberated? To what extent does this person advise, develop, and/or implement negotiating positions or proposals?
- h) To what extent is this person involved in preparing arbitration cases for hearing?
- i) To what extent does this person consult with management regarding the handling of unfair labor practice cases?
- j) What is the extent of this person's participation in the formulation and development of the Agency's labor relations policies?
- k) Describe the involvement of the alleged confidential



employee's involvement in above matters, obtaining documents when possible.

- 1) To what extent does the employee, in the normal performance of his/her duties, obtain advance information of management's position with regard to contract negotiations, the disposition of grievances, and other labor relations matters?
- 4) Obtain specifics from the Activity concerning the potential disruption to or conflict within the Agency's operations which will result if the alleged confidential employee(s) is included in the bargaining unit.

**Employees engaged in personnel work**

Section 7112(b)(3) of the Statute excludes from an appropriate units "an employee engaged in personnel work in other than a purely clerical capacity." Employees are considered "personnelists" under section 7112(b)(3) if their inclusion in the unit would result in a conflict of interest between work duties and union membership.

***For detailed guidance on this topic, see RCL 20.***

***Relevant information:***

- 1) Documentation, such as organizational charts, of the activity, locating where the alleged federal personnelist is found on the chart.
- 2) Evidence and documentation as to the actual duties of the employee, focusing especially upon the employee's assigned tasks that result in the employee being involved in federal personnel work. Obtain copies of the employee's position description and performance standards.
- 3) Describe the nature of the involvement by this person in the preparation and processing of personnel actions including hiring, adverse actions, promotions, pay increases, transfers, demotions, awards, performance appraisals, and training. The party(ies) focus the employee's testimony on the extent of independent judgment exercised by that employee in the performance of these duties. ✱
  - a) What does this employee do to initiate these forms? How independently is this person functioning in this process?
  - b) What does the employee do in the review of these forms? Is this person reviewing these forms prior to their issuance, for accuracy?
  - c) What is this employee's involvement in the filing or distribution of completed forms.
- 4) Describe the nature of the employee's involvement in the creation of personnel policies or activity policies.

- a) Copies of any such policies are helpful, as is a description of the individual's participation in their formulation.
- 5) Describe the records and information about unit employees to which the employee has access and for what purpose?
- 6) Describe how the employee advises supervisors and managers in personnel matters, such as disciplinary matters, responding to grievances, etc.
  - a) Copies of personnel actions, grievance responses, or other documents which reflect this involvement are helpful, as is a description of the employee's participation in their formulation.
  - b) Copies of any personnel or staffing studies conducted by the employees is entered in the record, along with testimony of the employee's participation in the studies.
- 7) Does the individual counsel employees on personnel matters, such as retirement benefits, insurance benefits, etc.
  - a) Copies of documents which reflect this assistance to employees are helpful, as is a description of the individual's work in these matters.
  - b) The employee explains any independent judgment s/he exercises in this counseling on the record.
- 8) What is this employee's involvement in the development or implementation of Equal Employment Opportunity programs at the activity?
  - a) Describe any EEO studies conducted by the employee in these matters, studies in which contain recommendations as to the attainment of EEO goals are of particular importance.
  - b) Describe this employee's participation in the establishment of EEO hiring, educational or promotion goals for the activity?

- c) What is the extent of this person's involvement in the EEO counseling process?
- d) What is the extent of this person's involvement in the EEO investigative process?
- e) What is the extent of this person's involvement in the EEO adjudicatory or settlement process?

When considering the bargaining unit status of an attorney, a complete examination must be made of all the relevant duties and responsibilities of the individual in the position to determine whether the position can be included in the unit or whether it must be excluded based upon a statutory requirement. For items related to specific confidential or federal personnel exclusions, consult those employee categories, in section 55 and section 56 of this manual.

Where an attorney is being assigned duties or functions as a representative of management the question may arise as to whether inclusion of this attorney would create a conflict of interest. In such situations, questions to explore at the hearing are:

- 1) Evidence and documentation of any advice and responses given or prepared by the General Attorney in labor relations and personnel matters to Agency personnel.
- 2) Evidence and documentation of representation of the agency in hearings before the Merit Systems Protection Board, the Equal Employment Opportunity Commission, the Federal Labor Relations Authority and arbitration hearings, or any other legal proceedings involving unit employees.
- 3) Evidence and documentation of access to internal personnel policy documents and management's internal advice and counsel on labor-related matters. Cover the areas of contract negotiations, the disposition of grievances, action to be taken on proposed disciplinary and adverse actions and management's guidance to supervisors and managers concerning such issues.

References:

*U.S. Department of Labor*, 33 FLRA 265 (1988).

*NLRB v. Lorimar Productions, Inc.*, 771 F.2d 1294 (9th Cir. 1985).

*Hoover Co.*, 55 NLRB 1321 (1944).

58 *Management official*

"Management official" is defined in section 7103(a)(11) of the Statute as:

... an individual employed by an agency in a position the duties and responsibilities of which require or authorize the individual to formulate, determine, or influence the policy of the agency.

A unit is not appropriate if it includes management officials [section 7112(b)(1)].

The criteria to be applied in determining if a position meets the statutory definition of "management official" is whether the person in the position (1) creates, establishes or prescribes general principles, plans or courses of action for an agency; (2) decides upon or settles upon general principles, plans or courses of action for an agency; or (3) brings about or obtains a result as to the adoption of general principles, plans or course of action for an agency. See Department of the Navy, Automatic Data Processing Selection Office, 7 FLRA 172, 177 (1981). The independent judgment exercised by the individual formulating or effectuating agency policies is critical in determining if a person is a management official. Individuals who serve on a board which sets agency policies may be management officials within the meaning of the Statute. *U.S. Department of Justice, Board of Immigration Appeals*, 47 FLRA 505 (1993).

In those cases where an individual recommends policies or courses of action for an agency, the frequency of which the recommendations are adopted is important in determining if that person is a management official. To be a management official within the meaning of the Statute, the person in the position must be formulating policy or participating in the formulation of policy. A person who is responsible for effectuating the policy or who assists in the implementation of policy is not a management official.

Relevant information includes:

- 1) Documentation, such as organizational charts, of the Activity, locating the alleged management official.
- 2) Actual duties and responsibilities of the employee.
  - a) Obtain a copy of the position description and performance standards of the employee.
  - b) Given the nature of the work performed by a management official, obtain copies of any agency Regulations or directives which address the authorities and responsibilities of this position.
- 3) What decisions are made by the employee in the performance of the job? Obtain copies of policies, Regulations, directives, etc. issued by the employee.
  - a) What is the scope of the authority of the employee (i.e., what types of decisions does s/he have authority to make).
  - b) What is the affect of any decision made and who is affected by the decision?
  - c) Are these decisions made pursuant to established policies or Regulations? If so, obtain copies of the relevant documents.

- 4) Do some or all of the decisions of the employee require higher agency approval?
  - a) The steps of the review process should be well-documented for the record. Obtain copies of policies, Regulations, directives, etc. written by the employee, that have been through this review process.
  - b) If the decisions must be approved by higher agency officials, how often are the decisions of the employee approved? How often are they disapproved?
- 5) Are the decisions of the employee subject to any type of review process?
  - a) The steps of the review process should be well-documented for the record. Copies of the employee's policies, Regulations, directives, etc. that have been through this review process should be entered into the record.
  - b) If the decisions or recommendations must be reviewed, how often are they accepted? How often are they rejected?
- 6) The employee actually may not be making policy, but may be making recommendations as to the formulation of policies. Obtain copies of recommended policies, Regulations, directives, etc. drafted and copies of the final policy, regulation, directive, etc. issued. Describe the employee's involvement in the making of policy.
  - a) The steps of the recommendation process should be well-documented for the record.
  - b) How often are the recommendations of the employee adopted? How often are they disapproved?
- 7) Does the employee attend supervisory or managerial meetings?
  - a) What is typically discussed at these meetings? How often are they held? Obtain minutes of these meetings, if possible.
  - b) How often does this employee attend these meetings?
  - c) What is the nature of the employee's participation at these meetings?
- 8) What is the employee's responsibility concerning the Agency's operations or policies? Obtain specific examples with documentation.
- 9) If the employee is not making policy determinations or making recommendations as

clerical is most important, so that determinations can be made as to whether the clerk's work is routine in nature, as it pertains to the sensitive documents.

References:

*Department of Energy, Oak Ridge Operations, Oak Ridge, Tennessee, 4 FLRA 644 (1980).*

*Office of Personnel Management, 5 FLRA 238, 247-248 (1981).*

*U.S. Department of the Navy, U.S. Naval Station, Panama, 7 FLRA 489 (1981).*

*Defense Mapping Agency, Aerospace Center, Kansas City Office, Kansas City, Missouri, 13 FLRA 52 (1983).*

*U.S. Department of the Army, Army Ordnance Missile and Munitions Center and School, Redstone Arsenal, Alabama, 35 FLRA 987 (1990).*

*U.S. Attorneys Office, Washington, D.C., 37 FLRA 1077, 1084 (1990), citing Defense Mapping Agency, Hydrographic/Topographic Center, Providence Office, Brookside Avenue, West Warwick, Rhode Island, Department of Defense, 13 FLRA 128 (1983).*

62 **Supervisors**

Section 7103(a)(10) of the Statute defines "supervisor" as:

an individual employed by an agency having authority in the interest of the agency to hire, direct, assign, promote, reward, transfer, furlough, layoff, recall, suspend, discipline, or remove employees, to adjust their grievances, or to effectively recommend such action, if the exercise of the authority is not merely routine or clerical in nature but requires the consistent exercise of independent judgment, except that, with respect to any unit which includes firefighters or nurses, the term 'supervisor' includes only those individuals who devote a preponderance of their employment time to exercising such authority.

Except as provided under section 7135(a)(2), a unit is not appropriate if it includes supervisors [see 7112(b)(1) and HOG 50 for a discussion of units including supervisors].

**Consistent exercise of judgment:** An individual is a supervisor if s/he consistently exercises independent judgment with regard to the supervisory indicia set forth in §7103(a)(10) of the Statute. See *Army and Air Force Exchange Service, Base Exchange,*



*Fort Carson, Fort Carson, Colorado*, 3 FLRA 596, 599 (1980).

**Supervision of "employees":** To be a supervisor within the meaning of the Statute, the person must be supervising an employee, as defined by the Statute. Thus, individuals who supervise military personnel are not supervisors within the meaning of the Statute, since they do not supervise employees. *Adjutant General of Michigan, Air National Guard, Battle Creek, Michigan*, 11 FLRA 66, 67 (1983).

**Number of employees:** There is no requirement that an individual must supervise a certain number of employees to be a supervisor under section 7103(a)(10). An individual who supervises one employee is a supervisor within the meaning of the Statute. See *Headquarters III Corps and Fort Hood, Fort Hood, Texas*, 13 FLRA 479 (1983).

**Number of supervisory indicia:** Not all supervisory functions must be exercised, for an individual to be deemed a supervisor. An individual who consistently exercises only one of the supervisor indicia is a supervisor within the meaning of the Statute. See *Department of the Air Force, Hanscom Air Force Base, Bedford, Massachusetts*, 14 FLRA 266, 268 (1984).

**Joint performance of supervisory function:** Joint performance of a supervisory function is sufficient to qualify an individual as a supervisor, if independent judgment is exercised by the individual. See *Veterans Administration Medical Center, Allen Park, Michigan*, 35 FLRA 1206 (1990).

**Evaluation of employees:** Responsibility for independently evaluating employee performance is a basis for finding that an individual is a supervisor, where the evidence demonstrates that the evaluations are used when upper management makes decisions to hire, promote, reward or discipline employees. See *Department of the Interior, Bureau of Indian Affairs, Navajo Area Office*, 45 FLRA 646 (1992).

**Use of secondary indicia.** In cases where the evidence does not conclusively establish that an individual exercises supervisory authority within the meaning of the Statute, certain "secondary indicia" of supervisory status will be considered. These secondary factors include: (1) attending meetings, including supervisory training sessions and (2) having the authority to grant time off to employees. *Department of the Interior, Bureau of Indian Affairs, Navajo Area Office*, 45 FLRA 646 at 654 (1992). The ability to approve or deny leave, without a showing of the exercise of any specific statutory supervisory authority, is not enough to demonstrate supervisory status. *Veterans Administration Medical Center, Allen Park, Michigan*, 34 FLRA 423, 426 (1990).

**Seasonal supervisors.** Individuals who exercise supervisory authority for a portion of the year and perform unit work for the remainder are "seasonal supervisors". They are excluded from the unit as supervisors during the period in which they are supervising employees, and included in the unit the remainder of the year. *U.S. Department of Agriculture, Forest Service, Intermountain Region, Challis National Forest*, 23 FLRA 349 (1981).

**Firefighters and nurses.** For application of the supervisory indicia to firefighters and nurses, see section 63 of this manual.

**Team leaders.** Determination of the supervisory status of team leaders rests upon the degree of independent judgment exercised by the team leaders. Team leaders are not supervisors if their responsibilities are routine in nature; if their function is to give technical advice to others, or if their work duties do not involve the consistent exercise of independent judgment. See *U.S. Department of the Treasury, Office of Chief Counsel*, 32 FLRA 1255, 1258-60 (1988). Team leaders who consistently exercise independent judgment in assigning work and directing and reviewing other employees' work are considered supervisors. *U.S. Department of the Army, Army Aviation Systems Command and Troop Support Command, St. Louis, Missouri*, 36 FLRA 587 (1990).

The following may be helpful in determining if an individual is a supervisor:

- 1) Documentation, such as organizational charts, of the activity, locating the work group involved and the general hierarchy of that portion of the activity.
- 2) Evidence and documentation as to the actual duties of the individual, focusing on the tasks that allegedly result in supervisory status.
  - a) Obtain a copies of the position descriptions and performance standards of the individual and subordinates.
  - b) Documentation of the names of and positions held by subordinates
  - c) Describe the work done by the alleged subordinates.
  - d) Describe how the work performed by the alleged supervisor differs from or is similar to that of subordinates?
- 3) Describe the extent and nature of the individual's involvement in the hiring process?
  - a) Does the individual participate in the interviewing of applicants? How many times has s/he participated in interviews?
  - b) Does the individual make recommendations as to who should be hired? If so, how often are those recommendations adopted? How many times has the individual made such recommendations? When did this occur.
  - c) Does the individual act as the selecting official in hirings and promotions? How often does this occur? Obtain documentation of this.

- 4) Describe the extent and nature of this person's involvement in the assignment of work.
- a) Does the individual distribute work? Is this distribution of work based upon written guidelines?
  - b) Does individual reassign work? The process by which work is reassigned should be explored in detail.
  - c) How is this individual involved in determining the number of employees to be used on which projects?
  - d) Does individual distribute work in accordance with his/her evaluation of the capabilities of employees.
  - e) How are overtime assignments made?
  - f) Does the individual schedule or prioritize work?
  - g) Does the individual maintain records of employee performance?
  - h) To what extent is the individual responsible for the completion and quality of the work from the work group?
  - i) To what extent must the individual rely on instructions from others or on standard operating procedures in assigning work?
  - j) Does the individual instruct employees on how to perform the work?
  - k) Does this individual have the authority to approve leave?
  - l) Has this individual denied a leave request or absence from the job, on the basis of workload requirements?
- 5) How does this individual become involved in the detail, transfer or reassignment of employees within the activity?
- a) Has this person recommended the detail, transfer or reassignment of any employee(s)?
  - b) If so, how many of the recommendations were followed? How many were not?
  - c) Does this person have the authority to detail, transfer or reassign employees

within the activity? If so, using specific examples, describe his/her role in the process.

- 6) Does this person have the authority to suspend, discipline or remove employees?
  - a) Has this person counseled, disciplined or removed any employees?
  - b) Has this person recommended that an employee be counseled, reprimanded, suspended or removed? Describe how that recommendation was processed and whether the employee was disciplined in any way.
  - c) Have grievances under the negotiated grievance procedure been filed, challenging this disciplinary action?
- 7) Is this individual involved in the performance appraisal process?
  - a) Does this individual complete annual performance appraisals for employees? Obtain copies of the appraisals.
  - b) How are these evaluations used in promotion actions, the granting of awards, reemployment decisions?
  - c) Does this individual have the authority to promote employees? To recommend their promotion? How often are his/her recommendations followed?
- 8) Does the individual participate in or determine when and which employees will be furloughed, reduced in force or recalled?
- 9) How is this individual involved in the grievance process?
  - a) Have any actions taken by the individual been the subject of a grievance? Using such a grievance, information should be developed as to the involvement of the individual in the grievance process.
  - b) Have any recommendations made by the individual been the subject of a grievance? Using such a grievance, information should be developed as to the involvement of the individual in the grievance process.
  - c) Has this individual adjusted any grievances? Examples of such adjustments should be developed.
- 10) What is the involvement of this person in other matters, which might shed light on supervisory authority.

- a) In connection with this position, has this person attended supervisory training? Is such training a prerequisite for the position?
- b) Does this person attend supervisory or management meetings? These meetings should be described in detail, covering how often they are conducted, who attends and what transpires at these meetings.
- c) Does this person have the authority to approve or deny leave? Are there any minimum staffing guidelines that the person must follow when considering if leave should be approved?

References:

*Department of Energy, Oak Ridge Operations, Oak Ridge, Tennessee, 4 FLRA 644, 651-52 (1980).*

63 *Firefighters and nurses*

Section 7103(a)(10) of the Statute contains a special definition of "supervisor" as it pertains to firefighters and nurses, stating that with respect to any unit including firefighters or nurses, the term "supervisor" includes only those individuals **"who devote a preponderance of their employment time exercising supervisory authority."**

The Statute contains no definition of "nurse" and no specific meaning of the term "nurse" has been developed through Authority cases. Section 7103(a)(17) of the Statute defines "firefighter" as:

...any employee engaged in the performance of work directly connected with the control and extinguishment of fires or the maintenance and use of firefighting apparatus and equipment.

There are two important aspects to the statutory definition of a supervisory firefighter or nurse. The supervisory firefighter or nurse must spend a **preponderance of employment time** engaged in supervisory functions. The term "preponderance" has not been defined by the Authority in any of its decisions. Thus, it is important to develop as complete a record as possible of the duties and assignments of the individuals in question. In addition, the Statute uses the term "employment time", rather than work time. Thus, for those firefighters who are assigned to 24-hour shifts, the amount of time engaged in supervisory duties throughout the entire 24-hour period must be developed. *See U. S. Department of the Navy, Marine Corps Base, Camp Pendleton, California, 8 FLRA 276 (1982).* The "preponderance of employment time" test applies only to firefighters and nurses in bargaining units, and not

(2)  
THE GUIDE TO PERSONNEL DATA STANDARDS  
(Update 11, 3/00)

**POSITION SENSITIVITY**

<u>Code</u>	<u>Name/Explanation</u>
0	Not Designated. No designation of sensitivity has been made. (Not valid for use on Standard Forms 50 or 52, Optional Form 8, or equivalent agency form.)
1	<p>Nonsensitive (NS) National Security Risk. Potentially prejudicial to the national security. Adverse impact on the efficiency of the service: Potential for impact involving duties of limited relation to the agency mission with program responsibilities that affect the efficiency of the service.</p> <p>Low Risk (LR) Public Trust Position. Adverse impact on the efficiency of the service: Potential for impact involving duties of limited relation to the agency mission with program responsibilities which affect the efficiency of the service.</p>
2	Noncritical-Sensitive (NCS) National Security Risk. Potential for damage to potential for serious damage to the national security. Adverse impact on the efficiency of the service: Potential for moderate to serious impact involving duties of considerable importance to the agency mission with significant program responsibilities that affect the efficiency of the service.
3	Critical-Sensitive (CS) National Security Risk. Potential for exceptionally grave damage to the national security. Adverse impact on the efficiency of the service: Potential for exceptionally grave impact involving duties of clearly major importance to the agency mission with major program responsibilities that affect the efficiency of the service.
4	Special-Sensitive (SS) National Security Risk. Potential for inestimable damage to the national security. Adverse impact on the efficiency of the service: Potential for inestimable impact involving duties especially critical to the agency mission with broad scope and authority (e.g., overall direction of a major Government program) or other extremely important responsibilities that affect the overall efficiency of the service.